

### Trilateral Cooperation in German Development Cooperation

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# TRILATERAL COOPERATION IN GERMAN DEVELOPMENT COOPERATION

*2020*



**D Eval**  
GERMAN  
INSTITUTE FOR  
DEVELOPMENT  
EVALUATION

In development cooperation, trilateral cooperation (TrC) is increasingly seen as having potential not only to achieve impacts in the beneficiary countries, but also to contribute to improved cooperation relationships and partnerships on the strategic level – especially between DAC donors and emerging countries. This evaluation of TrC in German development cooperation examines the extent to which the objectives and expectations of the stakeholders are being achieved. Alongside an analysis of the German TrC portfolio and the relevant literature, extensive case studies in Latin America and the Caribbean, Southeast Asia and sub-Saharan Africa serve as the data base.

# TRILATERAL COOPERATION IN GERMAN DEVELOPMENT COOPERATION

*2020*

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# EXECUTIVE SUMMARY

## Background, objectives and subject of the evaluation

For the last few decades, actors of international development cooperation have become increasingly aware of trilateral cooperation (TrC) as an alternative modality for cooperation in the field of development. All kinds of expectations are vested in this approach. In the wake of the aid effectiveness debate in the first decade of the 21st century and the resultant reorientation of development cooperation to improve effectiveness, TrC came to be seen as an opportunity to achieve better outcomes in beneficiary countries by involving a Southern provider of development assistance as an additional actor in a development cooperation measure. The working assumption is that a Southern provider faces similar development challenges to the beneficiary country and can therefore supply it with relevant technical expertise. Added to that, it is often socio-culturally closer than the donor to the beneficiary country.

A further advantage is that this additional actor alleviates pressure on the DAC donor's budget and carries a share of the responsibility. Global trends in recent years have heightened the importance of shared responsibility. Today, TrC is increasingly perceived as a strategic approach for forming, or strengthening, international partnerships as a basis for transferring more responsibility to other countries and jointly tackling global challenges that can no longer be solved by individual states on their own. Alongside the traditional OECD-DAC donor countries, a growing number of countries from different global regions are emerging, which are registering positive economic development. On that basis, these countries, too, have become more important partners politically and, for the most part, are increasingly contributing to international debates and assuming political responsibility.

The modality of TrC is thus considered to have particular potential for enhancing the effectiveness of development cooperation, promoting international development partnerships and cooperations, and fostering mutual learning. These are indicative of a special characteristic of the modality. In both German and international development cooperation, it is fundamentally geared towards contributing to effects on two different dimensions:

- The **programmatic-thematic dimension** covers the "classic" development effects produced in the countries in which the TrC measures are implemented, which are aimed at bringing about improvements for the target groups.
- **Political-strategic effects** are located mainly on the level of improving cooperation and partnership between the actors involved and strengthening development cooperation structures. In contrast to programmatic-thematic effects, political-strategic aspects can have an effect on all participants, not just those in the beneficiary country.

Accordingly, important international processes and documents – such as the 2030 Agenda for Sustainable Development, the Global Partnership for Effective Development Co-operation (GPEDC), or most recently, the Second High-level United Nations Conference on South-South Cooperation (BAPA+40) – point to the importance of TrC. The German government regards TrC as a useful link between South-South and North-South cooperation and shares the international community's high expectations of TrC. In its strategy paper "Triangular cooperation in German development cooperation", the Federal Ministry for Economic Cooperation and Development (BMZ) set itself the goal to "make more use of the many opportunities for triangular cooperation, working together with its partners" (BMZ, 2013).

Due to its very numerous cooperation measures and partners, German development cooperation is one of the most important DAC donors internationally with regard to the implementation of TrC (OECD 2013). Nevertheless, as a proportion of the BMZ budget, the BMZ funding allocated to TrC has been marginal: a share of 0.047 % in the period 2006 to 2017. In geographical terms, the principal focus of Germany's engagement is currently the Latin America and Caribbean (LAC) region.

Even today, the high hopes vested in TrC by the BMZ and the international community alike are based on very little evidence. The state of knowledge concerning the modality and its actual effects has been relatively low until now, both internationally and in German development cooperation. Accordingly, the

overall objective of this evaluation is to determine the extent to which the objectives and expectations of the actors involved in TrC as a modality of development cooperation are being achieved. In this connection, the evaluation places an emphasis on the objectives and expectations of German development cooperation, specifically in its role as a donor in TrC.

The subject of this evaluation is the modality of trilateral cooperation in German development cooperation. TrC is defined **as a form of development cooperation in which German development cooperation and state actors from different countries, performing three different roles, cooperate on measures that are jointly planned and implemented.** The roles in question comprise German development cooperation as the donor, a Southern provider, and a beneficiary. The additional role of the Southern provider is the essential difference from bilateral development cooperation.

## Overall assessment

The evaluation found that the objectives and expectations which all actors (donors, Southern providers, and beneficiaries) associate with the TrC modality in German development cooperation are fulfilled to varying degrees in the three regions of LAC, sub-Saharan Africa and Southeast Asia. Some cooperation relationships are being newly established or consolidated; South-South cooperation is being promoted, and development cooperation structures strengthened. In this way, TrC is contributing to the implementation of the 2030 Agenda (and especially the partnerships for development called for in SDG 17). TrC is also becoming more visible internationally as a development cooperation modality. At the same time, the impacts and sustainability of the measures on the programmatic-thematic dimension are relatively low.

That said, the evaluation attests to the potential of the modality of TrC to achieve long-term impacts on the political-strategic dimension. In practice, this largely coincides with the objectives of the stakeholders, since their main motivation for the use of TrC is to achieve political-strategic objectives. For German development cooperation and for a majority of the Southern providers, the focus is on their relationship with each other and on reinforcing the Southern provider in its new role as an active co-player in development cooperation. TrC is thus an appropriate modality – at least under certain conditions – for the pursuit of political-strategic objectives. It should continue to be improved, however.

Where the aim on the programmatic-thematic dimension is to reach beyond the direct objectives of the measures and deliver long-term and sustainable contributions to development policy objectives, TrC in its current form in German development cooperation is only suitable to a limited extent. At present, it is scarcely possible to reconstruct how the outcomes of the mainly small-scale measures are intended to contribute to overarching development goals. The contributions vary enormously and are dependent on the given project and country context. This suggests that if the implementation of TrC were more impact-oriented, its strengths could better be harnessed for the pursuit of development objectives than has previously been the case. It seems advisable to strengthen the programmatic-thematic dimension in the design of TrC, since an unduly one-sided focus on political-strategic goals cannot be deemed satisfactory, given the objectives of German development cooperation and its self-commitment to implementing the aid effectiveness agenda. The indirect causal pathway, which eventually leads to improvements for target groups in the beneficiary countries as a side-effect of establishing cooperations and strengthening the Southern providers, is insufficient for this purpose.

Three major overriding challenges stand in the way of more effective and efficient use of the modality in German development cooperation on both dimensions:

1. Within German development cooperation there is no common understanding about the modality of TrC and its usage. Accordingly, there is neither systematic nor strategic pursuit of the objectives of the BMZ's TrC strategy, and in practice the use of TrC is highly heterogeneous. Depending on the region and other conditions of the context, the focus of a TrC can vary between the political-strategic dimension and the programmatic-thematic dimension. Many different approaches to TrC have taken shape within these dimensions as well. On the one hand, this flexibility is one of the modality's strengths. On the other hand, it implies that standard procedures for the implementation of TrC barely exist and the specific design has to be negotiated afresh in each new case. The lack of both a strategic



approach and a common understanding can have negative effects on joint impact-oriented implementation of TrC measures.

2. The BMZ is not in possession of sufficient relevant information from ongoing and completed measures to be able to coordinate the modality in the way that would be necessary in order to make strategic use of TrC. This adds to the difficulty of aligning the overall portfolio with the implementation of the BMZ's strategic objectives. There are neither existing indicators for measuring the achievement of strategic objectives, nor any overarching monitoring system for recording and evaluating TrC measures in terms of how they contribute to the strategic objectives; therefore the generation and dissemination of learning experiences is only possible to a limited extent.
3. In most cases, TrCs are not implemented in a systematic and impact-oriented manner because sufficient financial and human resources to do so are not available. In the coordination of the modality, the lack of information and knowledge management systems is compounded by the shortage of human resources to analyse and process the experience gained and feed it back into the development cooperation system. On the implementation level, the effectiveness and sustainability of the measures are negatively affected by under-resourcing.

### Methodological approach

To undertake an adequate analysis of the subject of the evaluation and answer the overarching evaluation question, a theory-based evaluation design was applied. The analytical framework, known as the theory of change, was reconstructed and checked in consultation with relevant stakeholders. Both target dimensions of the modality were taken into consideration during the reconstruction and the data analysis phases. Some of the effects identified in the process cannot be clearly assigned to one dimension. Aspects were identified which are specific to the modality of TrC. These include joint and mutual learning as well as principles of cooperation such as horizontality. The results from all dimensions were recombined in the synthesis.

A comprehensive primary and secondary data collection was undertaken for the evaluation. Case studies in the three regions LAC, sub-Saharan Africa and Southeast Asia form its centrepiece. A total of 235 interviews were conducted in 16 case-study countries and Germany. The 16 case-study countries consist of seven providers from the South, eight beneficiaries, and one dual actor. The latter is Peru, which acts as both a Southern provider and a beneficiary in TrC with German development cooperation. Interviews in Germany were conducted with respondents at the BMZ and the two implementing organisations (IOs) Gesellschaft für Internationale Zusammenarbeit (GIZ) and Physikalisch-Technische Bundesanstalt (PTB).

Furthermore, a literature analysis and a portfolio analysis were carried out based on project documents from the IOs. For these purposes, the evaluation team analysed 86 documents relating to 30 TrC measures in LAC, ten in Southeast Asia and three in sub-Saharan Africa.

### Main findings and conclusions – Conceptual framework of the modality

#### *Objectives, strategy and roles*

All actors in the three roles attach a large number of explicit and implicit goals and expectations to TrC, on both dimensions. The objectives of the Southern providers and the beneficiaries are largely in accordance with those of German development cooperation. However, some discrepancies exist; for example, regarding the establishment of a common understanding about cooperation principles and impact mechanisms, such as transparency and impact orientation. Implicit goals of German development cooperation are frequently focused on the Southern providers; for example, strengthening development cooperation structures or using TrC to consolidate political-strategic cooperation relationships. In part, these objectives are stated in the TrC strategy of the BMZ, but they are not explicitly formulated as objectives for TrC in German development cooperation. It is extremely rare for Southern providers and beneficiaries to have a TrC strategy of their own.

German development cooperation in the donor role contributes to TrC measures with financial resources and in-kind inputs (especially taking charge of project management) and usually also with specialist technical expertise. In addition, German development cooperation tends to take on a brokering role via its

worldwide network of staff, with GIZ in particular setting up contacts between the institutions of the Southern providers and those of the beneficiaries. Only a subset of providers from the South perform the role of cultural broker that is ascribed to them. Most of the Southern providers share technical expertise based on their experience but usually also benefit themselves from the expertise of German development cooperation, particularly on project management methods and procedures. The beneficiaries make their contribution by providing logistical support and knowledge about the context. Most Latin American beneficiaries, in particular, also transfer financial resources and knowledge in line with the principle of joint implementation and learning. They increasingly operate as dual actors, i.e. they are no longer exclusively beneficiaries but increasingly take on the Southern provider role in TrC and pass on their own knowledge and experience. An example of this is Peru.

### *Use of the modality*

TrC also enjoys relatively high political attention among Germany's development cooperation partners in relation to SDG 17 (Global Partnership for Sustainable Development). Among other things, this is evident from the fact that some development cooperation departments in the relevant ministries are being restructured and oriented more strongly towards TrC. Within German development cooperation, TrC often operates below the radar of political decision-makers, despite the strong engagement of most staff responsible for TrC. Similarly, some BMZ officials responsible for steering the measures and some coordinators within IOs do not perceive TrC as a relevant development cooperation modality. In some cases, a different understanding of the different participants' remits is found, along with a fundamentally different perception of TrC as a modality. This lack of awareness is explained largely by the fact that German development cooperation lacks systematic knowledge management and a joint monitoring and evaluation system for the modality of TrC. For this reason, so far it has not been possible to carry out any overarching evidence-based assessment of how the modality is being implemented.

It is usual for the implementation of TrC to rely on existing bilateral structures, including resources, local staff and administrative procedures, since procedures and local structures for TrC in its own right have not been developed. Use of the modality can be affected by challenges arising from this, in terms of efficiency, for instance. While (trilateral) resources are saved, on the one hand, the approach places a heavier strain on (bilateral) resources that are not geared towards a trilateral perspective – when coordinating the actors in the three roles, for instance. This very often leads to delays. In German development cooperation, only the LAC Fund (Regional Fund for Triangular Cooperation in Latin America and the Caribbean) offers an alternative financing model: it uses regional funding, does not make any bilateral commitments to individual countries, and personnel are not tied to bilateral structures.

## **Main findings and conclusions – Impacts of trilateral cooperation**

### *Cooperation relationships*

For German development cooperation and providers from the South, in particular, the establishment and consolidation of cooperation and cooperation relationships are in the foreground on the political-strategic dimension. TrC is often used by donors and Southern providers to maintain and reinforce cooperation between a DAC donor and a Southern provider, such as Chile or Brazil, that has already graduated or is about to graduate.<sup>1</sup> To pursue the stated aim of promoting South-South cooperation through TrC, the BMZ considers it necessary to strengthen the role of the given Southern provider as a kind of hub in its region. In the effort to intensify the cooperation relationship, topics from previous bilateral development cooperation or another TrC involving the Southern provider are often taken up and replicated in a TrC measure in a beneficiary country.

<sup>1</sup> Graduation is determined on the basis of per capita GDP, including expected graduations (Eurostat, n.d.).

### *Learning and principles of cooperation*

German development cooperation's objective of strengthening the development cooperation structures of the Southern providers is achieved through a learning-by-doing approach in the course of joint coordination and implementation of development cooperation measures. The focus here is on generating development cooperation experience and applied project management expertise (including coordination, impact-oriented planning and monitoring). Although strengthening is not mentioned as an explicit objective in the BMZ strategy and is not systematically addressed as part of TrC measures, it is nevertheless the case that TrC measures funded by the BMZ make this contribution in practice. Generally speaking, it occurs as a side effect of TrC measures. Neither targets and indicators nor specific, regular capacity development activities are incorporated into the design of TrC measures in order to track or explicitly promote learning of this kind. Hence, effects are often accidental products. This entails the risk that if conditions change, the objective of strengthening the development cooperation structures of Southern providers may no longer be achieved. The exception here is the Regional Fund for Triangular Cooperation in Latin America and the Caribbean (LAC Fund), which finances the German contribution to joint TrC measures in LAC and, with its offering of human capacity development courses (HCD courses), trains the participating partners in the modality of TrC and in project management.

The aim of strengthening the Southern providers' development cooperation actors is addressed to the principles and standards of development cooperation. In its implementation of TrC, the German side focuses on the OECD-DAC standards and the principles of the Paris Declaration.<sup>2</sup> However, German development cooperation and providers from the South refer to different principles and understandings of cooperation. For some Southern providers, including Brazil, Indonesia and South Africa, the so-called South-South cooperation principles are part of their understanding of cooperation in the development sector. Accordingly, they also pursue these in TrC. Explicit exchange of learning and experience, and communication between the actors on impact mechanisms and principles of cooperation, are not systematically established. Nevertheless, in many TrC measures, informal dialogue takes place on impact mechanisms and principles (particularly on the impact orientation of measures), which marks a first step towards achieving German development cooperation's objective.

Mutual learning (learning from one another) and joint learning (learning together) by all the actors – including the donor – is an important component of TrC. Joint learning is evident in the learning about the modality that takes place, whereas on the technical level, mutual learning mainly occurs between the Southern provider and the beneficiary. By comparison, the learning experiences of German development cooperation on this level are only weakly in evidence. Furthermore, the logic of German development cooperation contains no conceptual premise that German development cooperation will learn from its partners. Learning experiences are barely ever documented, so that there is no clarity about what German development cooperation learns in TrC. Insufficient consideration of mutual learning is one reason why horizontality between the three roles is only partially achieved, even though it is a fundamental principle of cooperation in TrC. Overall, both Southern providers and beneficiaries perceive TrC with German development cooperation as being more horizontal than bilateral cooperation. Horizontality is dependent on particular individuals, however, and – since the principle is not incorporated systematically – is present (or not) to varying degrees in the measures. Horizontality is primarily achieved between German development cooperation and the Southern providers, while the relationship between German development cooperation and the beneficiaries is still often vertical in nature. The beneficiaries' involvement in TrC can better be described as participation than as horizontality.

<sup>2</sup> The evaluation understands these to comprise the following principles, to which German development cooperation is committed (BMZ, n.d.a, n.d.b). Apart from transparency, participation and the do-no-harm principle, it also takes into consideration the principles of the Paris Declaration on Aid Effectiveness: ownership, alignment, harmonisation, management for results, and mutual accountability (OECD, 2005).

### *Development impacts of trilateral cooperation measures*

Despite all the challenges in the implementation of TrC in German development cooperation, the evaluation attests to the potential of the modality to make relevant contributions to development impacts in the beneficiary countries. This potential arises inter alia from the fact that the Southern provider, an additional partner, is available and able to provide resources in the form of financing, expertise and personnel to achieve the objectives of the measure. This potential is not fully utilised in the form of TrC currently practised in German development cooperation, however. TrC measures produce a large number of outputs that can be achieved in the short term, including in the areas of capacity development and the production of technical documents. The objectives of the measures are largely being achieved; however, it was impossible to reconstruct with plausibility whether and how the identified outputs of the measures contribute to medium- and long-term development effects (outcome and impact level). Long-term effects that go beyond the objectives achieved by the measures are nevertheless noted in joint learning and in the building and consolidation of technical cooperations and networks. Mutual learning takes place particularly on the specialist technical level. Both the achievement of the outputs as well as the unsatisfactory contributions to the outcome and impact level must be set in relation to the often-low level of input to TrC measures in terms of resources. Against this background, the efficiency of the measures can be assessed more positively than their effectiveness.

Along the same lines as the effects, the sustainability of TrC measures is found to be mostly unsatisfactory. TrC is often implemented as a one-off measure with a low budget and a short duration, and is often not tied in with the bilateral programmes in the beneficiary country. This lack of tie-in and resultant ad hoc planning processes partly explain the omission to plan for sustainable use of the results once the project term is over. Follow-up of this kind, which need not necessarily mean continuation of the TrC with the participation of German development cooperation, would be the basis for ensuring that all those involved have clarity about who will carry forward the activities and the initiated changes after the TrC ends, in what form, and what resources are available for this purpose.

Possible reasons for the non-achievement of effects and limited sustainability, on the one hand, are insufficient resources in terms of personnel, time and, in some cases, financial resources. On the other hand, the additional workload generated by coordination and communication among a large number of partners, who are often still inexperienced with TrC, poses a further major challenge.

The considerable need for coordination means that, especially at the beginning of a TrC, transaction costs are relatively high, which negatively affects the efficiency of the measures. However, the high transaction costs must be assessed against the background of TrC-specific benefits – such as learning and cooperation – which ideally arise in addition to the direct results of the measure. Accordingly, a certain additional administrative overhead is quite justified and is a logical element of the measures to achieve the TrC-specific benefits.

### *Regional differences in the conception and implementation of trilateral cooperation by German development cooperation*

In the three regions analysed, marked differences are noted in the framework conditions, structures and objectives of TrC. In LAC, for example, there are significantly more Southern providers and more up-and-coming beneficiaries than in other regions with more diverse programmatic-thematic and political-strategic interests. Accordingly, 73 % of the measures in the German TrC portfolio are indeed located in the LAC region.

The modality is mostly assessed positively by the partners in LAC and is seen as an option that makes a positive contribution to regional integration, knowledge transfer and the 2030 Agenda. TrC is better anchored conceptually in LAC than in the other two regions, thanks to its longer tradition, broader reach and the HCD courses of the LAC Fund. The HCD courses integrated into the Fund create a common understanding of the potential of TrC and the implementation of TrC measures. The measures are not financed from bilateral funds but through a regional fund (the LAC Fund). Currently, the fund faces the challenge that, while its budget remains static, the partners' interest in TrC is constantly growing.

In Southeast Asia, Southern providers in particular show an interest in using the modality. In addition to political-strategic interests, their focus is on strengthening their development cooperation agencies and increasing the visibility of their contributions to the SDGs. The potential that exists in the region for greater use of the modality is constrained primarily by low levels of beneficiary commitment, but also by dependence on bilateral funding and processes.

In sub-Saharan Africa, German development cooperation's engagement in TrC ended in 2015, with the focus for German development cooperation having been on implementing its anchor country concept with South Africa, the only Southern provider in sub-Saharan Africa in the German portfolio, and on setting up the development cooperation agency SADPA. This also included the generation of development-policy field knowledge by means of TrC. Since South Africa's political priorities shifted, however, the agency was not founded in the end.. A further obstacle in the region was found to be that African beneficiaries were unaware of the aims and potential of the modality of TrC and of South Africa's role. Therefore they continued to favour bilateral development cooperation. As a result, the BMZ is not promoting any TrC measures in sub-Saharan Africa at present.

## Recommendations

The evaluation has identified the potential of the modality of TrC on the two impact dimensions of programmatic-thematic and political-strategic objectives. If substantial contributions are to be made to the intended objectives by means of TrC, however, in view of the limited effects of the modality observed on both impact dimensions, it seems necessary to substantially increase the effectiveness and efficiency of TrC. Otherwise, the modality will stop far short of its potential, especially in terms of its development effects in the beneficiary countries. TrC would not then be in a position to make significant and appropriate contributions to addressing global development challenges.

The evaluation identified five areas with potential for improvement. This should be utilised to enable TrC to contribute effectively and efficiently to achieving the intended objectives.

### *Trilateral cooperation strategy and objectives*

**Recommendation 1: The BMZ should sharpen its TrC strategy and decide which objectives, on which impact dimension, it wants to prioritise and achieve by means of TrC.**

1.1 To this end, the BMZ should explicitly name high-priority but as-yet implicit objectives in the TrC strategy. In addition, the strategy should describe the specific benefit of the modality for the achievement of each given objective in concrete terms.

1.2 The BMZ should align the selection of partner countries with its strategic objectives. In doing so, the BMZ should make even greater use of the possibility of flexible application of the roles within TrC.

### *Strategic steering and guidance in the use of trilateral cooperation*

**Recommendation 2: The BMZ should strengthen its strategic steering capacity with regard to the modality of TrC.**

2.1 For the effective use and strategic steering of TrC, the BMZ should establish or improve information and knowledge management systems, and particularly

- generate a distinct TrC policy marker and apply it in German development cooperation,
- develop indicators for the strategic objectives, track these during the measures, and compile and analyse them in a superordinate and practicable monitoring system,
- carry out systematisation of the portfolio and of lessons learned in relation to the modality of TrC.

2.2 The BMZ should link up its strategy and its usage of TrC by ensuring that measures are geared towards achieving the strategic objectives of the modality.

2.3 The BMZ should strengthen its internal coordination and advisory function for TrC, which performs the tasks mentioned in 2.1 and 2.2 in continuous exchange with the regional and global divisions involved and ensures coherence with other forms and strategies of development cooperation. This requires adequate resourcing of the coordination and advisory function.

2.4 The BMZ should examine whether TrC can be connected to existing regional structures and procedures, or whether it makes sense to establish such structures and procedures to increase the effectiveness and efficiency of the modality. In either case, coherence with the bilateral portfolio should be ensured. The financing structure of the LAC Fund can be consulted for good practice on this matter.

### *Development impacts of trilateral cooperation measures*

**Recommendation 3: The BMZ and the IOs should plan and implement TrC more strategically to enable better utilisation of the potential of TrC to achieve development impacts and better valorisation of TrC-specific benefits such as mutual and joint learning.**

3.1 Specific benefits of TrC, such as the fostering of an exchange of experience and of mutual and joint learning, should be incorporated into planning as distinct objectives of a measure, and tracked accordingly in the monitoring and evaluation system.

3.2 The sustainable use of the results after a measure comes to an end should be planned from the very start of a measure. This follow-up should clearly identify which actors, with which resource inputs, will be responsible for carrying forward the activities and the changes initiated during the measure.

3.3 In order to improve effectiveness and sustainability, to reduce transaction costs and for reasons of portfolio coherence, the content of TrC measures should be linked to the bilateral programmes of German development cooperation in the given beneficiary country.

3.4 To ensure that TrC measures can be designed in accordance with these recommendations, they should be planned on the basis of sufficient financial, personnel and time resources.

### *Cooperation with Southern providers*

**Recommendation 4: The BMZ and the IOs should systematically strengthen the Southern providers in their role as active development cooperation actors.**

4.1 The strengthening of development cooperation structures should be explicitly listed as an objective in the BMZ's TrC strategy. In addition, the IOs should develop indicators for the strengthening of development cooperation structures as an overarching impact of TrC, and anchor them in the individual TrC measures.

4.2 The BMZ should increasingly engage in a policy dialogue with its partners on principles and standards of development cooperation in joint TrCs. On the implementation level, the German IOs should discuss standards and principles with their partners and specify those to be applied when implementing joint TrCs.

4.3 The BMZ should support up-and-coming beneficiaries by strengthening their development cooperation structures within the framework of TrC so that in future they can act as Southern providers of development cooperation themselves.



### *Context-adapted use of trilateral cooperation*

**Recommendation 5: The BMZ and the IOs should do even more to adapt their engagement in TrC to the specific contexts in the regions and partner countries.**

5.1 Germany's engagement in TrC should be more closely aligned than before with the capacities and competences of the respective Southern providers and beneficiaries. This calls for thorough clarification, prior to TrC, of the regional and country-specific differences in framework conditions and the interests of the actors in the three roles, and for incorporation of these aspects into planning and implementation, e.g. by means of comprehensive needs and stakeholder analyses and an assessment of the political and legal framework conditions.

5.2 In concrete terms, what this means for the three regions considered in the evaluation, taking account of BMZ regional strategies, is that

- the positive experiences of TrC in LAC should be utilised and scaled up even more, and past learning experiences should be systematised and made accessible to other regions and measures, as ways to improve effectiveness.
- more HCD courses (similar to those offered by the LAC Fund) should be implemented in the Southeast Asia region in order to generate a better understanding of the modality of TrC and its potential among all participants, thereby also ensuring better inclusion of the beneficiaries in the conception and design processes. Furthermore, the BMZ should examine the use of alternative financing models for TrC.
- in sub-Saharan Africa, it should be examined whether the prerequisites are in place, either with countries other than South Africa, or with different South African actors in the role of Southern provider, to develop a common understanding of TrC and, if viable, to pilot individual TrC measures. Only if these preconditions are satisfied should TrC be continued in sub-Saharan Africa.

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# ABBREVIATIONS AND ACRONYMS

AMEXCID	Mexican Agency for International Development Cooperation ( <i>Agencia Mexicana de Cooperación Internacional para el Desarrollo</i> )
BAPA+40	Buenos Aires Plan of Action +40 (2nd High-level United Nations Conference on South-South Cooperation)
BMZ	German Federal Ministry for Economic Cooperation and Development ( <i>Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung</i> )
COMFA	Center of Materials and Failure Analysis, Institute of Materials Science (Vietnam)
DAC	Development Assistance Committee (OECD)
GIZ	<i>Gesellschaft für Internationale Zusammenarbeit</i> (Germany)
GPEDC	Global Partnership for Effective Development Co-operation
GPI	Global Partnership Initiative
GPI-TriCo	Global Partnership Initiative on Effective Triangular Cooperation
HCD	Human Capacity Development
HIC	High-income country
IO	Implementing organisation
LAC	Latin America and the Caribbean
LIC	Low-income country
M&E	Monitoring and evaluation
MIC	Middle-income country
MoU	Memorandum of Understanding
NCT	National Coordination Team (Indonesia)
ODA	Official Development Assistance (OECD)
OECD	Organization for Economic Co-Operation and Development
PTB	National Metrology Institute of Germany ( <i>Physikalisch-Technische Bundesanstalt</i> )
SADPA	South-African Development Partnership Agency
SDGs	Sustainable Development Goals (UN)
SEF	Study and Expert Funds
SME	Small and medium-sized enterprise
SSC	South-South Cooperation
SSTC/NGG	South-South and Triangular Cooperation and Networks for Global Governance
TC	Technical Cooperation
ToC	Theory of change
TrC	Trilateral cooperation
TriCo	South African-German Trilateral Cooperation Fund ( <i>Südafrikanisch-deutscher trilateraler Kooperationsfonds</i> )
UN	United Nations



# 1. INTRODUCTION

## 1.1 The significance of trilateral cooperation as a modality of development cooperation

For the last few decades, actors of international development cooperation have become increasingly aware of trilateral cooperation (TrC) as an alternative modality for cooperation in the field of development, and have vested all kinds of expectations in this approach. In the wake of the aid effectiveness debate in the first decade of the 21st century and the resultant stronger orientation of development cooperation towards effectiveness, TrC came to be seen as an opportunity to achieve better outcomes in beneficiary countries by involving an additional actor, a Southern provider of development assistance.

The working assumption is that common socio-cultural factors make the Southern provider better able to respond to the development challenges of the beneficiary country. A further advantage is that this additional actor alleviates pressure on the DAC donor's budget<sup>3</sup> and carries a share of the responsibility. Global trends in recent years have heightened the importance of shared responsibility. Today, TrC is increasingly perceived as a strategic approach for forming, or strengthening, international partnerships as a basis for transferring more responsibility to other countries and jointly tackling global challenges that can no longer be solved by individual states on their own. Alongside the traditional OECD-DAC donor countries, a growing number of countries from different global regions are emerging, which are registering positive economic development. On that basis, these countries, too, have become more important partners politically and, for the most part, are increasingly contributing to international debates and assuming political responsibility.

Advocates of the modality thus consider TrC to have particular potential for enhancing the effectiveness of development cooperation, promoting international development partnerships and cooperations, and fostering mutual learning. As a development cooperation modality, TrC describes cooperation between actors who fulfil three different roles. As a rule, these are:

- an OECD-DAC donor,
  - a so-called emerging country, acting as the Southern provider, and
  - a so-called developing country as a beneficiary country
- (a more detailed explanation of TrC and the different roles follows in subchapter 1.2).#

At international level, TrC is explicitly mentioned in the Accra Agenda for Action of 2008 (OECD, 2008). This refers to the importance of new actors in development cooperation and, in that connection, to the potential of TrC. The Busan Partnership for Effective Development Co-operation of 2011 (OECD, 2011) then gives considerably more attention to TrCs – a separate section is devoted to the potential of South-South cooperation (SSC) and TrC. It urges more vigorous promotion of these two forms of cooperation in order to make better use of existing expertise and develop locally adapted solutions.

The adoption of the 2030 Agenda for Sustainable Development in 2015 gave new momentum to questions about how the international community should tackle global challenges and which actors should be obliged to take responsibility. In this context, Goal 17 of the 2030 Agenda is of particular importance – it sets out to revitalise the "global partnership for sustainable development" and explicitly refers to TrC in order to foster the exchange of knowledge and put developing countries in a position to meet their obligations under the 2030 Agenda.

The Global Partnership for Effective Development Cooperation (GPEDC) has also been examining the possibilities of trilateral cooperation<sup>4</sup> intensively since its first *high-level meeting* in 2014. As a result, the *Global Partnership Initiative on Effective Triangular Cooperation* (GPI-TriCo) was founded in 2016 under the auspices of the GPEDC. The importance of TrC in the OECD is also evident from the fact that in 2018, the OECD developed and published the Toolkit for identifying, monitoring and evaluating the value added of

<sup>3</sup> DAC: Development Assistance Committee of the Organisation for Economic Co-operation and Development, OECD

<sup>4</sup> The evaluation uses the term "trilateral" cooperation as opposed to "triangular" cooperation. These two terms have different connotations and are deliberately used or rejected by many actors. The term "triangular cooperation" is often associated with a vertical hierarchical meaning ("upright triangle"), while the term "trilateral" emphasises the horizontal partnership ("flat triangle") (cf. Rhee, 2011).

triangular co-operation (Piefer and Casado-Asensio, 2018) in cooperation with interested members of the initiative.

The last milestone at the time of writing was the Second High-level United Nations Conference on South-South Cooperation (BAPA+40) in March 2019, where the possibilities of SSC were discussed some 40 years after the Buenos Aires Plan of Action for Promoting and Implementing Technical Co-operation among Developing Countries was adopted in 1978. TrC also played a central role in this. The outcome document of the conference specifically mentions TrC as a complementary form of cooperation to SSC (UN, 2019). Special emphasis is placed on the potential of TrC to promote cooperation between different actors and, via pooled resources and expertise, to contribute to the achievement of the Sustainable Development Goals of the 2030 Agenda.

In line with international developments, TrC has attained ever-increasing importance in German development cooperation in recent years. The German government regards TrC as a useful link between South-South and North-South cooperation and shares the international community's high hopes of TrC. In its strategy paper "Triangular cooperation in German development cooperation", the Federal Ministry for Economic Cooperation and Development (BMZ) set itself the goal to "make more use of the many opportunities for triangular cooperation, working together with its partners" (BMZ, 2013: 3). The BMZ strategy paper "Development cooperation with Global Development Partners" (BMZ, 2015) likewise mentions TrC as a form of cooperation. The German government's 15th Development Policy Report draws attention to TrC as an opportunity for joint learning and for valorising the will of the countries of the global South to shape the future. Moreover, here once again TrC is valued as a link between South-South and North-South cooperation (BMZ, 2017a). Finally, the BMZ departmental report "*Entwicklungspolitik ist Zukunftspolitik*" (Development policy is policy for the future) on the implementation of Germany's sustainability strategy and the *Sustainable Development Goals* (SDGs) of the United Nations (UN) refers to the importance of TrC for enhancing knowledge transfer within global partnerships (BMZ, 2018a).

Germany ranks alongside Japan, Norway and Spain as one of the largest DAC donors involved in TrC (OECD DAC, 2016). Nevertheless, in relation to the BMZ budget, the share of BMZ funding allocated to TrC is marginal.<sup>5</sup> In geographical terms, so far the principal focus of Germany's engagement has been in the Latin America and Caribbean (LAC) region. In December 2016, however, the parliamentary groups of the CDU/CSU and SPD called for TrC to be strengthened in the ASEAN region<sup>6</sup> and "developed in strategically important areas" as well (Deutscher Bundestag, 2016: 3). The Bundestag accepted this demand in March 2017.

The high hopes vested in TrC by the BMZ and the international community are based on very little evidence at present, and the level of knowledge concerning the modality and its actual effects is still relatively low. Several discussion papers and case studies (e.g. Tjønneland, 2019; Zilla et al., 2011) explicitly point out knowledge deficits and a lack of systematisation. Although these studies describe the opportunities and risks ascribed to this form of cooperation with regard to reach, strategy and added value, and review them on a case-by-case basis, they make no claim to be a scientific evaluation of the cooperation modality (Hausmann, 2014; OECD DAC, 2013, 2016; Zilla et al., 2011). Moreover, there is no internationally uniform definition of the term TrC or the cooperation modality, with the result that TrC is put into practice in a variety of forms. Cooperations exist between one or more (DAC) donors and one or more Southern providers and/or with one or more multilateral actors in the donor, Southern provider or even beneficiary role (OECD DAC, 2013). Civil society organisations and the private sector can also be involved (GPI, 2017). Furthermore, TrC can also be implemented by three (or more) partners from the global South without the involvement of a DAC donor.

<sup>5</sup> From 2006 to 2016 the total contribution of the BMZ to the TrC projects in progress during this period, of around EUR 30 million, amounted to just 0.047 % of the BMZ budget over the same period (on average) (BMZ, n.d.c.; BRH, 2017).

<sup>6</sup> Association of Southeast Asian Nations.



Chapter 2 explains the methodological approach of the evaluation: it contains a description of the evaluation design and data collection methods, and an explanation of the challenges that arose in the course of the evaluation and the limitations of data collection and analysis. Before this, there was no systematic description of the TrC portfolio in German development cooperation. Chapter 3 therefore provides a comprehensive survey of the German portfolio during the period 2006 to 2018, including an explanation of the German financial input and the cooperation relationships that have resulted from TrC. Chapters 4 and 5 present the results of the evaluation. Chapter 4 deals with the findings on the conceptual framework of the modality – covering the different actors' objectives, the coordination of these objectives, the roles within TrC, and the use of the TrC modality. Chapter 5 shows the effects on both dimensions and with regard to the TrC specificities of joint and mutual learning and principles of cooperation. Finally, Chapter 6 provides an overall assessment of the potential of TrC, with conclusions and recommendations for more effective and efficient use of the modality, subdivided into five fields of action. The recommendations are addressed to the BMZ and the two implementing organisations (IOs) Gesellschaft für Internationale Zusammenarbeit (GIZ) and the Physikalisch-Technische Bundesanstalt (PTB).

## 1.2 Subject of the evaluation

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The subject of the evaluation is the modality of trilateral cooperation in German development cooperation. In the international context, there are diverse definitions of TrC with different political and cultural connotations. The BMZ defines TrC in terms of the participation of different types of countries (DAC donors, "emerging countries" and beneficiary countries) (BMZ, 2013), whereas for the OECD, for example, the decisive elements are the three roles (facilitator, pivotal partner, beneficiary) in a TrC (OECD DAC, 2016). There are also different interpretations of what kind of institutions can implement TrC. The BMZ strategy paper is explicitly limited to state actors (BMZ, 2013: 3), whereas other organisations emphasise that TrC can be implemented by a variety of – state and non-state – institutions (OECD DAC, 2016). Equally, multilateral organisations such as the United Nations Development Programme (UNDP) as well as private sector and/or civil society actors can assume key roles.

This evaluation is based primarily on the definitions taken from the BMZ strategy paper of 2013 and the OECD, but also considers aspects from the above-mentioned literature. Hence, for the development intervention to be included as a TrC in the portfolio of this evaluation, all three roles must be performed by state institutions. This focus on cooperation between state actors coincides with the actual implementation of TrC in German development cooperation, which is almost exclusively executed by state actors.<sup>7</sup> In performing the roles, several actors may take on or support a role as a group, for example by means of co-financing. Other possible configurations of a TrC, for instance with private sector actors (such as banks) or multilateral organisations, have only occasionally been implemented by German development cooperation and are not considered in this evaluation. The subject of this evaluation is defined as follows:

**Trilateral cooperation in German development cooperation is a form of development cooperation in which German development cooperation and state actors from different countries, performing three different roles, cooperate on a jointly planned and implemented measure.**

The three roles in question comprise German development cooperation as the donor, a development assistance provider from the South, and a beneficiary (Haas and Schulz, 2014). The essential difference from bilateral development cooperation is thus the additional role of the Southern provider. The three roles and their respective inputs are shown schematically in Abbildung 1 and are described in more detail below.

<sup>7</sup> In the sense of multi-actor partnerships, other non-state actors may also be involved in the implementation of TrC measures in the German development cooperation portfolio.

**German development cooperation:**

In the role of donor, German development cooperation supports TrC in large part by means of financial resources and usually with additional specialist and technical expertise. Only this makes TrC possible. In most cases, German development cooperation is also responsible for the project management in its TrC.

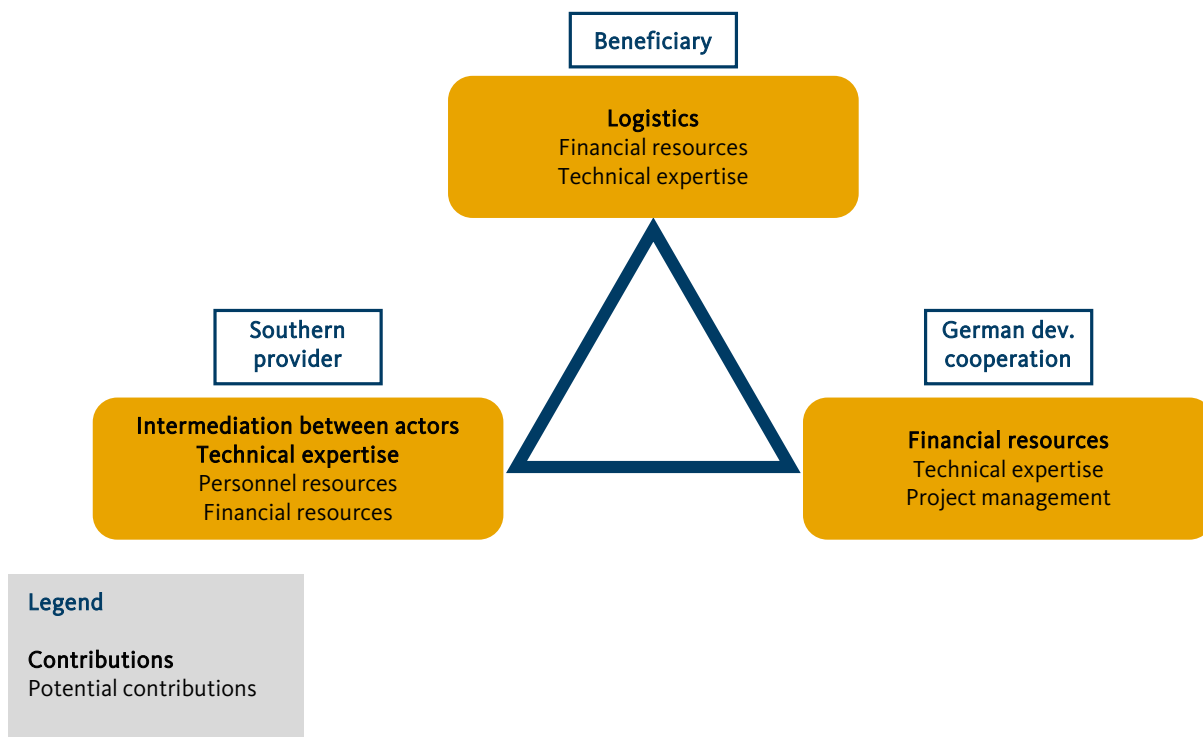
**Southern provider:**

A Southern provider contributes human and/or financial resources, contacts, and possibly know-how and/or technical expertise into the TrC. To this end, it makes use of the experience gained from facing its own development challenges and has a special rapport with the beneficiary country (due to cultural proximity, specific expertise, etc.). The literature often refers to this role as the "pivotal partner". This is based on an assumption that the Southern provider is primarily responsible for brokering between the donor and the beneficiary. In practice, however, these countries frequently act in a similar way to donors – that is to say, they similarly make expertise and financial resources available, whereas brokering between the donor and the beneficiary is only a minor element (cf. subchapter 4.2).<sup>8</sup>

**Beneficiary:**

It is intended that the programmatic-thematic effects of a TrC measure will be achieved in the beneficiary country. Thus, the beneficiary is responsible for a sustainable result (OECD DAC, 2016), which should be in keeping with its (development) strategy. The beneficiary itself provides logistical and thematic inputs, in addition to which it may also make a financial contribution to the measures.

<sup>8</sup> Some countries in this group (e.g. Brazil, South Africa and Indonesia) have reservations about being called donors, since this term is too closely linked to traditional North-South development cooperation, the principles of which are not shared by all countries. Some of these countries, such as South Africa, Brazil and Mexico, refer to themselves as Southern providers. They see themselves as actors offering expertise and resources that need to be actively requested by beneficiary countries in accordance with the principle of demand orientation. The evaluation has adopted this term and refers to the countries that fulfil this role as Southern providers.

**Figure 1** Presumed roles and contributions in a trilateral cooperation

Source: own figure.

Chapter 4 sets out the objectives and expectations attached to TrC by the actors in the different roles, and how these are manifested in practice.

### 1.3 Aims and purpose of the evaluation

The overall analytical remit of this evaluation is to find out to what extent the participating actors' objectives and expectations associated with TrC as a development modality are being achieved. The evaluation places its emphasis on the objectives and expectations of German development cooperation in its role as a donor in TrC.

The strategy paper "Triangular cooperation in German development cooperation", already mentioned, is an important point of reference for the detailed definition of the subject of the evaluation. Among other things, it sets out the BMZ's objectives and expectations regarding the use of the modality. In addition, it aims to "provide help and guidance ... in the planning and implementation of triangular cooperation" (BMZ, 2013: 3), and thus plays a central role for all TrC activities undertaken by German development cooperation. The objectives listed in the paper form the starting point for developing the evaluation questions to be investigated, and for reconstructing a theory of change for the development cooperation modality of TrC. The strategy paper lists the following five objectives:

1. Improving the effectiveness of development measures in the beneficiary countries through complementary use and dovetailing of knowledge, experience and financial resources from emerging economies and from Germany;
2. Establishing worldwide development partnerships for sustainable development and exerting a positive impact on regionalisation;
3. Jointly setting global development agendas and promoting the sharing of learning and experience on the principles of development cooperation and the ways in which it can impact;
4. Replicating/disseminating experience jointly gained through bilateral development cooperation with global partners and in other developing countries;
5. Fostering South-South cooperation, regional development, dialogue and networking.

Both in the German and the international context, as yet there are hardly any systematic empirically verified findings concerning the achievement of the development objectives of TrC (cf. Altenburg and Weikert, 2006; Nomura Research Institute, 2013). The aim of this evaluation is to conduct a summative review of the impacts, sustainability and success factors of TrC as a development cooperation modality. The evaluation yields information on the extent to which intended impacts have been achieved and on the accuracy of the assumptions made about causal relationships. It additionally includes a review of the coherence between the objectives of the actors in the three roles (cf. subchapter 4.1).

The results of the evaluation are intended to be used formatively, to support learning processes for the stakeholders involved – primarily the BMZ and the two implementing organisations involved in TrC, namely GIZ and PTB – so as to make more effective use of TrC and to generate relevant information to support more strategic steering. The results of the evaluation aim to contribute to optimising the operational implementation of TrC and to evidence-based development-policy decision making on the use of TrC. The evaluation gives comprehensible, practice-focused recommendations by way of guidance for the development policy modality going forward.

## 1.4 Evaluation questions

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The overall question addressed by the evaluation was the following:

**To what extent are the actors' objectives and expectations associated with TrC being achieved?**

To answer this question, the evaluation addressed five questions that give due consideration to the arguably divergent perspectives of the actors in the three roles:

1. What contribution does TrC as a development cooperation modality make to political or strategic partnerships?
2. To what extent is TrC an effective form of cooperation for German development cooperation?
3. What objectives and expectations does the Southern provider attach to TrC with German development cooperation?
4. What objectives and expectations does the beneficiary attach to TrC with German development cooperation?
5. What are the conditions for the success (or otherwise) of TrC?

## 2. METHODOLOGICAL APPROACH

## 2.1 Evaluation design

In order to carry out appropriate analysis of the subject of the evaluation and answer the evaluation questions, a theory-based evaluation design was applied (Weiss, 1997). The core of theory-based evaluation is the theory of change (ToC). Beyond the mere observation of impacts, the question addressed by theory-based evaluation is via which assumed causal pathways particular impacts are achieved. The ToC thus spells out the assumed pathways of effectiveness for programmes – or for a modality such as TrC – as well as assumptions about interactions between individual activities and impacts or between impacts on different dimensions. This theory-based approach makes it possible to identify inconsistencies in the conception of the modality (theory failure). In the next step, problems in implementation are analysed and elucidated (implementation failure) (Weiss, 1997).

For the analysis and evaluation of TrC as well as the reconstruction and/or review of the ToC, it is necessary to bear in mind a specific feature of the modality. By its basic logic, TrC is designed to make contributions to impacts on two different dimensions: in addition to development impacts on the programmatic-thematic dimension, it also seeks to achieve impacts on a political-strategic dimension (cf. Piefer and Casado-Asensio, 2018; Zilla et al., 2011). Programmatic-thematic impacts comprise the "classic" development impacts in the countries in which the TrC measures are implemented, and are aimed at bringing about improvements for the target groups. Political-strategic impacts are located particularly on the level of improving cooperation and partnership between the actors involved and strengthening development cooperation structures. In contrast to programmatic-thematic impacts, political-strategic aspects can have an effect on all participants, not just those in the beneficiary country. Despite the differentiation of the two dimensions for theoretical purposes, a large number of the activities provide contributions to both dimensions via different causal pathways in the course of implementation. The two dimensions are closely intertwined, or rather, the political-strategic dimension is dependent on the implementation of TrC measures as a prerequisite for achieving political-strategic objectives. The evaluation also brought aspects to light which – at least in this version of the modality – are specificities of TrC. These include the aspect of joint and mutual learning, and principles of cooperation such as horizontality. The detailed findings concerning the impacts on the two dimensions are presented in Chapter 5.

For the TrC modality, having the ToC as a basis for further analysis is particularly important for two reasons:

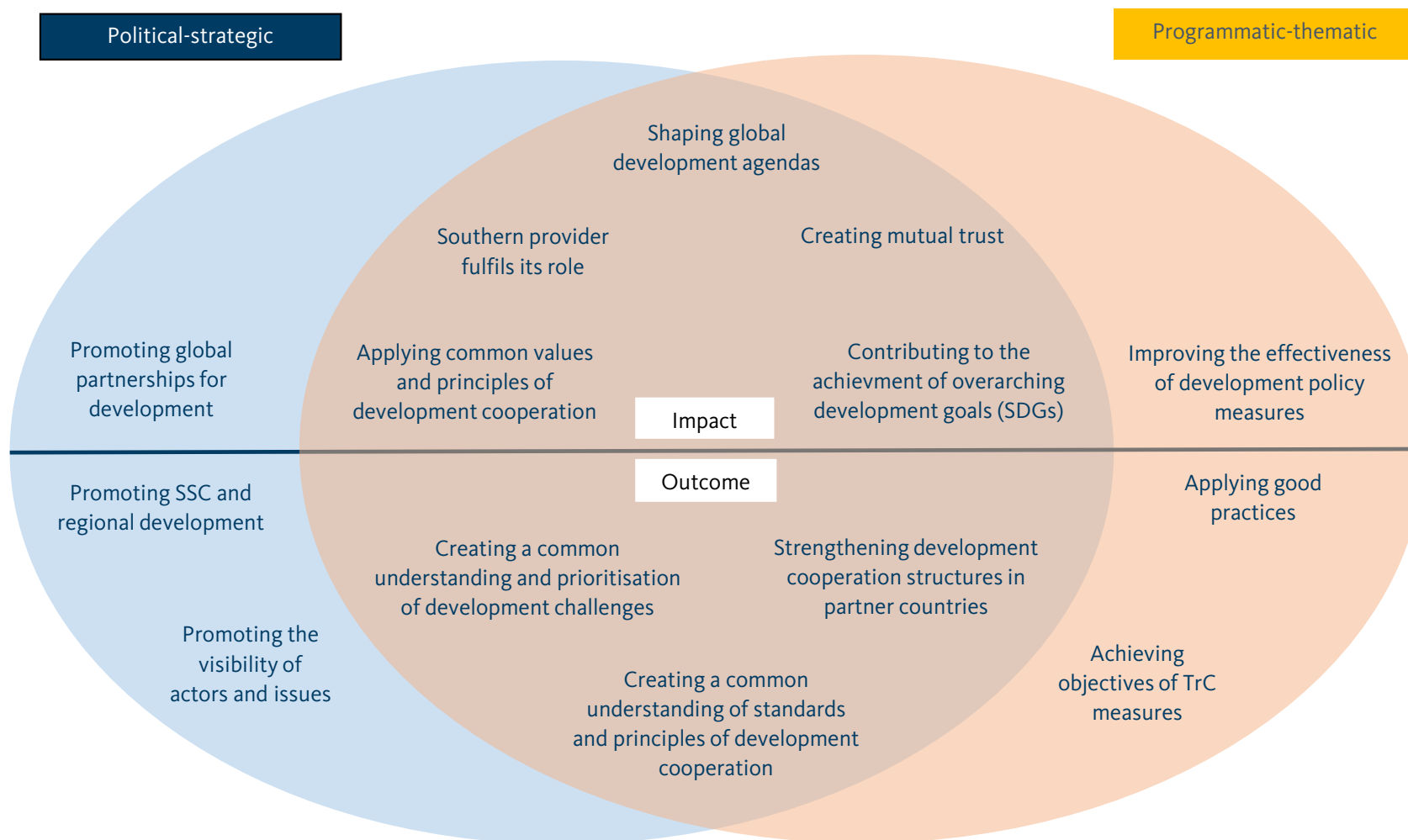
- Firstly, the modality is not distinctly defined and conceptualised in German development cooperation. Consequently, there is no ToC clearly stating which objectives German development cooperation plans to achieve by means of which activities (cf. subchapter 1.2).
- Secondly, the absence of conceptualisation means that TrC is implemented very heterogeneously and can deliver impacts on a variety of dimensions. Accordingly, one of the evaluation's tasks was to reconstruct a generic ToC on the use of TrC in German development cooperation, and thereby to identify and make explicitly visible the main intended impacts and the causal assumptions made about them.

The objectives and expectations of the other actors in TrC – the Southern providers and the beneficiaries – and the coordination of objectives between the various actors, are of crucial importance to the success of TrC. Therefore, apart from the ToC from the German perspective, two additional ToCs were reconstructed. These represent TrC from the viewpoints of the Southern providers and the beneficiaries respectively. The ToC from the German perspective is based on the BMZ strategy paper and was validated in two workshops with representatives of the relevant institutions (BMZ, GIZ and PTB). The ToCs from the perspective of the Southern provider and the beneficiary are based principally on assumptions derived from the literature on TrC and from interviews with relevant stakeholders, which were conducted by the evaluation team during an exploratory trip to South Africa, and at other times. The three ToCs served as the basis for framing the evaluation questions and for designing the different stages of data collection. The three ToCs were compared with one another, and any differences in the objectives and expectations of the actors in the different roles were flagged. These differences were dealt with separately in terms of data collection. Since the overarching focus is on German development cooperation, once the data collection had been completed, the ToC from the German perspective was adjusted in line with the insights gained. This ToC

may serve as support for a potential revision or sharpening of the German TrC strategy. The ToCs from the viewpoints of the Southern providers and the beneficiaries are shown in Annex 8.1.

The detailed presentation and analysis of the German ToC is explained in Chapter 4. Abbildung 2 shows a simplified representation of the impact and outcome level without the assumed causal assumptions of the ToC from the German perspective. It also sets out the impacts on the 'political-strategic' and 'programmatic-thematic' dimensions. As will be seen, not all the implementation results can be clearly assigned to one of the two dimensions; indeed, some have impacts on both dimensions. Likewise, the activities carried out within the framework of TrC often have impacts on both dimensions via different causal pathways.

**Figure 2** Simplified intervention logic (impacts and outcomes) for trilateral cooperation from the viewpoint of German development cooperation



Source: own figure.



Because of the two different impact dimensions of TrC, it was necessary to differentiate between two statistical populations ( $n$ ) within the portfolio. To answer the evaluation questions on the political-strategic dimension, the study focused on the cooperation relationships between the individual actors in the various roles (population of cooperation relationships =  $nR$ ). A cooperation relationship is defined as (formal) cooperation between actors in two different roles within a TrC (cf. Abbildung 1). By default, a TrC has three cooperation relationships. One cooperation relationship can provide the framework for implementing several measures. A number of TrC measures between the same actors can be an indication of the intensity of a cooperation relationship. Brazil has one cooperation relationship with Mozambique for the purpose of TrC, for example, but five measures have been implemented. Based on the analysis of the portfolio, the total population of cooperation relationships across all roles is  $nR = 137$  (between Southern providers and beneficiaries  $nR(S;B) = 90$ , and between German development cooperation and Southern providers and beneficiaries  $nR(G) = 47$ ).

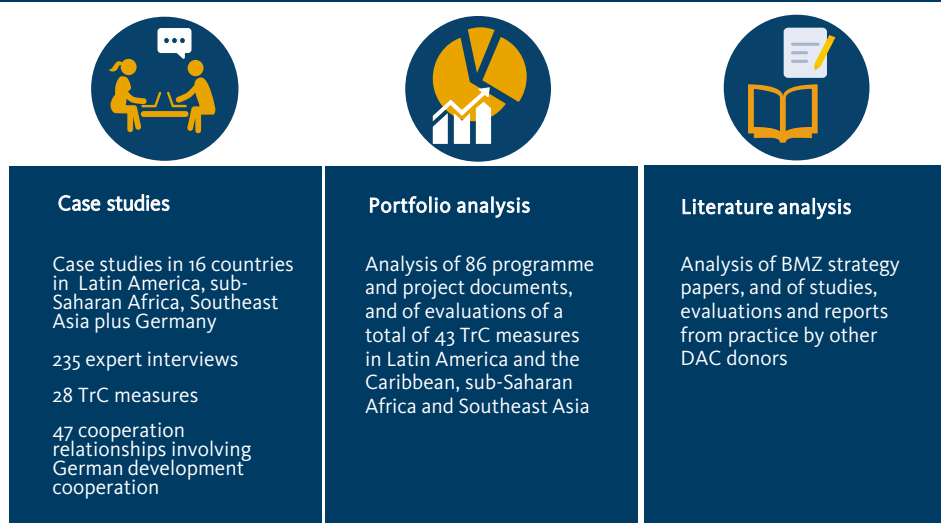
To answer the questions on the programmatic-thematic dimension, the second population was used. This corresponds to the number of existent TrC measures ( $nM$ ) in the German development cooperation portfolio, and amounts to  $nM = 115$ . Both populations were the basis for the criteria-based selection of case studies (subchapter 2.2).

In addition to the OECD-DAC criteria, South-South cooperation (SSC) principles came into play at the data collection and analysis stage (subchapter 2.2). Since many Southern providers or beneficiaries have not embraced the OECD-DAC criteria and instead base their development activities on the SSC principles, among others, these were also taken into account. The principles in question were agreed upon by the participating countries at the High-level United Nations Conference on South-South Cooperation held in Nairobi in 2009 (UN General Assembly, 2009) and are the acknowledged basis of SSC. The first principles of SSC were listed back in 1955 in the Final Communiqué of the Bandung Conference, the first conference convened among 29 African and Asian states. These are generally regarded as the foundation for SSC. In the course of further conferences (Buenos Aires 1978, and especially Nairobi 2009, Bogota 2010 and Delhi 2013), a growing focus was placed on SSC for development, and this was further developed and elaborated (Timossi, 2015; Besharati et al., 2017; UNOSSC, 2019). In the statement of the G77 (Group of 77) plus China on the BAPA+40 Outcome Document, the participants stress that TrC should always be aligned with these principles, which include national sovereignty, national ownership and independence, equality, non-conditionality, non-interference in domestic affairs, and mutual benefit (Nasser, 2019). The following additional SSC principles issue forth from other sources: solidarity, horizontality and demand-based cooperation (Besharati et al., 2017; Gulrajani and Swiss, 2017; Piefer and Casado-Asensio, 2018; Sidiropoulos, 2019).

In cooperation with interested members of GPI-TriCo and with active involvement from German development cooperation, the OECD has produced a toolkit for monitoring and evaluating TrC. This toolkit focuses on the aspect of partnership and the potential added value generated by establishing partnerships within TrC (Piefer and Casado-Asensio, 2018). It makes suggestions on how evaluations of TrC should be conducted in order to incorporate partnership aspects. For instance, it proposes that not only the OECD-DAC criteria but also SSC principles should be used for such an assessment. Bearing this in mind, the present evaluation also takes account of selected SSC principles. These are: horizontality, mutual benefit, demand orientation and ownership.

## 2.2 Data collection and analysis

The evaluation encompasses an extensive collection of primary and secondary data (cf. Abbildung 3). The data collected by the different methods was then combined and analysed with reference to the evaluation questions. This triangulation, plus the views of the various stakeholder groups recorded in the case studies, permitted a comprehensive survey of the German TrC portfolio. This ensured that all information relevant to answering the evaluation questions was captured and included in the analysis.

**Figure 3** Methods of data collection

Source: own figure.

### Case studies

Extensive case studies form the centrepiece of the evaluation. A total of 220 interviews were conducted in 16 countries in the three regions of Latin America and the Caribbean, sub-Saharan Africa and Southeast Asia (Tabelle 1). The 16 case study countries consisted of seven Southern providers, eight beneficiaries and one dual actor. One set of interview partners recruited were experts who could comment generally on the modality and the respective political background – primarily political decision-makers. Participants in concrete interventions/individual measures were selected as the other set of interview partners to provide information on the programmatic-thematic dimension. The interviews in the partner countries were supplemented by interviews conducted in Germany with interviewees from the BMZ and the IOs. Most of the BMZ interviewees were based in the regional divisions. The interviews were conducted on the basis of a pre-structured guideline that was geared towards the evaluation questions. Adhering to the qualitative-research principle of openness, new inductive questions were also allowed during the interview. Furthermore, the knowledge-holders could supply new reference points for follow-up questions or introduce new aspects, so that the interviews resembled a conversational situation (Gläser and Laudel, 2010: 42).

Table 1 Number of interviews conducted

Country	German development cooperation	Southern provider	Beneficiary	Dual actor	Others
Latin America					
Bolivia	-	3	8	-	5
Brazil	2	4	-	-	5
Chile	5	7	1	-	1
Costa Rica	5	6	-	-	-
El Salvador	3	1	3	-	-
Guatemala	4	2	8	-	-
Mexico	10	10	-	-	1
Paraguay	4	1	5	-	2
Peru	4	-	-	9	3
TOTAL	37	34	25	9	17
Southeast Asia					
Indonesia	5	5	1	-	3
Laos	2	-	7	-	2
Thailand	2	10	-	-	2
Vietnam	3	-	4	-	-
TOTAL	12	15	12	-	7
Sub-Saharan Africa					
Mozambique	8	2	4	-	1
South Africa	9	13	-	-	4
Tanzania	3	-	8	-	-
TOTAL	20	15	12	-	5
German development cooperation	BMZ		GIZ/PTB		
Germany	7		8		
TOTAL	235				

*Note: The interviews conducted in the BMZ regional divisions were assigned to the particular countries about which the interviews were conducted. The interviews in the line "German development cooperation" were conducted at the BMZ and at GIZ and the PTB generically on the modality of TrC.*

*Source: own table.*

The case study countries were selected on the basis of weighted criteria. In descending order of priority (cf. Annex 8.3), these criteria are:

- **Regional coverage**  
The aim of the evaluation was, with due regard for regional, structural and thematic differences, to be able to make generic statements about the TrC modality. In order to increase the external validity of the results, it was necessary to ensure that the case studies covered the three regions adequately. In addition, the evaluation needed to take account of "special cases", such as intercontinental TrC (where Southern providers and beneficiaries come from different regions, e.g. Brazil and Mozambique) and dual actors (which act as both Southern providers and beneficiaries).
- **Number of TrC measures and resulting cooperation relationships** between a Southern provider and a beneficiary (subchapter 2.1).  
This criterion is based on the assumption that an actor involved in a higher number of measures and cooperation constellations will have been able to acquire more experience with the modality and a broader repertoire of the measures under analysis. Therefore, the countries chosen were primarily those whose actors have gathered the most experience in TrC involving German participation.
- **Terms, budget per measure and forms of financing** of TrC  
TrC measures were included if they were of at least one year's duration, to ensure that some TrC experience was already present. Regarding the budget per measure, a lower limit of EUR 100,000 was taken as a basis. This excluded low-volume measures that were likely to give rise to development impacts on a more minor scale. Hence, piecemeal measures such as workshops or one-off training measures (with a budget of just under EUR 1,500, for example) were omitted from the analysis. Finally, the case studies needed to cover as many different forms of financing as possible (Study and Expert Funds – SEF, bilateral funding, regional funds, etc.) in order to be able to assess the influence of financing on aspects such as the implementation and impact of measures or the ownership of the participating actors.

### *Portfolio analysis*

In addition to the primary data collected by the evaluation team, secondary data in the form of project documents from the implementing organisations was analysed. For the portfolio analysis, the evaluation team analysed documents on 30 TrC measures in Latin America and the Caribbean, 10 in Southeast Asia and 3 in sub-Saharan Africa. The total of 43 projects includes 36 TrC measures and 6 bilateral projects aimed at strengthening and expanding development cooperation structures in various countries (supporting the TriCo in South Africa,<sup>9</sup> the South-South/Triangular Cooperation and Networks for Global Governance in Indonesia, the Thai-German Triangular Cooperation, the Fund for Trilateral Cooperation in Chile, the Fund for Trilateral Cooperation in Mexico, and the Trilateral Cooperation Programme in Brazil). While the latter do not fall within the definition of TrC framed by the evaluation, by reinforcing the partner structures they do play a potentially important role in strengthening the modality. Added to that, some individual TrC measures are also implemented within the scope of these bilateral projects. The documents analysed consisted of project proposals, progress reports, project progress reviews, final reports and evaluations (some of them external). A list of the projects and measures included in the portfolio analysis can be found in Annex 8.2. The coding and analysis of the project documents followed the evaluation questions, as did the interviews (subchapter 1.4).

<sup>9</sup> TriCo: Trilateral Cooperation

### Literature analysis

Finally, an analysis of relevant literature and documents was incorporated into the evaluation. It turned out that because of the growing interest in TrC, literature on the theory and potential of TrC does exist; however, there are barely any evidence-based studies and evaluations of TrC measures (cf. also subchapter 1.1). The gain in knowledge from the literature was thus comparatively minor.

### Data analysis

The data analysis was carried out by means of a qualitative content analysis. Project documents and interview transcripts were analysed following methods from Mayring and Kuckartz (Mayring, 2012; Kuckartz, 2016). Adopting a theory-led approach, the data was “processed in steps with a category system developed from the material” (Mayring, 2002: 114, own translation from German) and analysed. In the course of data analysis, it became clear that analysis and synthesis according to impact dimensions and thematic aspects was more promising than proceeding strictly in line with the evaluation questions. Effects were also identified that cannot be clearly assigned to one dimension. The previously established specificities of the TrC modality, such as joint and mutual learning and principles of cooperation, were likewise considered during the analysis. In the synthesis, the results from the dimensions were recombined. Chapter 4 describes the results relating to implementation of the TrC modality, while Chapter 5 describes the effects on the different dimensions.

## 2.3 Challenges and limitations

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First to be mentioned are the challenges of assembling the relevant project documents. The evaluation team did not manage to obtain documents from GIZ on all the measures relevant to this evaluation. The most likely reason is that there is neither an obligatory policy marker for TrC measures nor any common understanding concerning the definition of TrC. Consequently, GIZ was not always able to identify the relevant documents. Furthermore, it emerged that GIZ held no documents about certain measures relevant to the portfolio. The possibility that some relevant measures were omitted from the portfolio analysis cannot therefore be ruled out.

The informativeness and quality of the evaluation reports received has proved to be limited in some cases: several reports from different projects contain identical passages and statements, for example on efficiency. Often statements referring to the DAC evaluation criteria are not underpinned argumentatively with facts or data (cf. subchapter 4.3.1).

An advantage of qualitative evaluation design, and especially of qualitative content analysis, is the systematic approach, i.e. it is rule-driven and works with a system of categories. More precise results can be achieved in this way than by interpreting the information freely. However, this systematic approach can negatively affect the analysis if it restricts the analysis excessively and makes it inflexible (Mayring, 2012). To counteract this, in addition to the theory-led formation of categories, the inductive creation of categories was permitted in order to safeguard the principle of openness and object adequacy (Gläser and Laudel, 2010). Thus, instead of forcing the data collected into specific categories *ex ante*, “unanticipated expressions of attributes could be adequately incorporated” (Gläser and Laudel, 2010: 201, own translation from German). This ‘open coding’ harks back to the *Grounded Theory* of Glaser and Strauss (2005).

In subchapter 1.2 it was explained that the focus on German development cooperation and the performance of the three roles by state actors helps to increase the homogeneity of the measures, and hence to improve the comparability and internal validity of the results. In the course of the evaluation, however, it became evident that even under the said constraints, the modality is used very heterogeneously – e.g. goals can be located mainly on the political-strategic or on the programmatic-thematic dimension, measures vary in size and duration, or actors fulfil their roles differently. Major differences also exist between the three regions analysed (subchapter 5.4). This diversity of TrC measures already constitutes a result of the evaluation in itself, but poses challenges for the generalisability of conclusions and recommendations. The criteria-led selection of the case studies captured the heterogeneity of TrC in terms of the various aspects, and this was fed into the evaluation. Hence, the diversity of TrC is presented transparently in the Findings chapters.

The evaluation focuses on TrC as a form of development cooperation. A comparison with other forms of cooperation – such as bilateral or regional interventions of German development cooperation – was neither a part nor an aim of the evaluation. Development cooperation projects are subject to a host of influences from internal and external factors. It is therefore impossible de facto to identify the concrete influence of the specificities of TrC – such as the existence of the Southern provider as an additional partner – on the results of a concrete intervention. Consequently, the value added by these specificities in comparison to other forms of cooperation could not be analysed.

### 3. PORTFOLIO DESCRIPTION

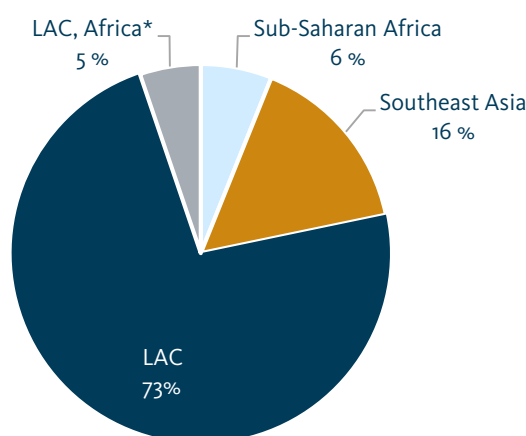
This chapter describes the trilateral cooperation (TrC) portfolio funded by the BMZ at the global level and contributes to presenting the subject of the evaluation. First, a brief overview of the composition of the TrC portfolio is given. The focus then moves to the contributions made by the actors in the three roles, after which the sectors in which TrCs are being implemented are presented. There follows an explanation of the distinctive feature of dual actors. Finally, an account is given of the cooperation relationships that can be discerned from the portfolio.

Various sources from the German development cooperation system form the basis for the portfolio analysis. No policy marker for TrC exists within the BMZ system. The portfolio overview is thus based on an overview of the TrC measures from the BMZ's "Policy issues of bilateral development cooperation; emerging economies" division, which is supplied with information by the regional divisions. This division is the organisational unit responsible for collecting information on TrC in the German development cooperation system. This information was supplemented with further research and inquiries to the IOs. The portfolio analysed was current as of April 2018. There are, however, limitations concerning the completeness of the information (cf. subchapter 2.3). The portfolio studied for the evaluation comprises ongoing and completed TrC measures of German development cooperation in the period 2006 to 2018. The explanation for the 2006 starting period is that the Fund for Triangular Cooperation in Chile was implemented in that year. This was the precursor to the Regional Fund for the Promotion of Triangular Cooperation in Latin America and the Caribbean, and can be seen as a pilot intervention for more intensive and systematic German engagement in TrC.

### 3.1 Overview

At the time data was requested from the BMZ and the IOs, of the 115 measures that made up the statistical population analysed for the evaluation, 28 were in progress and 87 had ended. The regional focus of BMZ-funded TrC was the Latin America and Caribbean (LAC) region, accounting for 73 %, followed by Asia (16 %) and Africa (6 %). In the latter cases, the German TrC portfolio was limited to the regions of Southeast Asia and sub-Saharan Africa (cf. Abbildung 4).

**Figure 4** Share of BMZ-funded trilateral cooperations by region



*\*The designation "LAC, Africa" covers intercontinental TrCs with Southern providers from LAC and beneficiaries in Africa.*

*Source: own figure.*

In most of the TrC measures, the beneficiary originated from the same region as the Southern provider. The exceptions were some intercontinental TrCs involving Southern providers from Latin America and beneficiaries located in Africa (5% of all TrCs). This special form of TrC was being practised by three actors from LAC in the role of Southern provider: Brazil (6 measures), Costa Rica (2) and Chile (1). Turning to the beneficiaries, these were found to include eight African actors: Angola, Ghana, Guinea-Bissau, Cape Verde, Mozambique, Morocco, São Tomé and Príncipe, and Tunisia. Four of these countries only took part in one



joint measure, together with Brazil. Brazil, with six beneficiaries, maintained the largest number of intercontinental TrC relationships.

The TrC measures were implemented almost exclusively as technical cooperation (TC) measures by GIZ. The PTB realised five measures. One measure was carried out jointly by the PTB and GIZ. The KfW Development Bank also implemented a TrC measure, but this was not examined more closely in the portfolio description since the evaluation focuses on TC. On average, the duration of the TrC measures studied was 2.1 years, with the shortest measures lasting approx. six months and the longest measure around eight years. Over the period under consideration, the durations of the measures have become shorter. Since 2014, there has been an observable downward trend in durations from 2.5 to about 1.5 years. If follow-up measures are agreed, however, the total duration is extended. This occurs twelve times in the portfolio under evaluation; for these measures, the average duration is approx. five years.

German development cooperation cooperated with nine Southern providers and 37 beneficiaries within the framework of TrC (cf. Abbildung 5). The group of beneficiaries is very heterogeneous since it encompasses not only low-income countries (LIC), like Mozambique and Tanzania, but also (and mainly) middle-income countries (MIC<sup>10</sup>) like El Salvador and Vietnam. In LAC, Peru is a dual actor, with balanced participation in a high number of TrCs both as a Southern provider and as a beneficiary. In the period under evaluation, the countries that cooperated most frequently with German development cooperation were Chile (34 TrC measures) and Mexico (24) in the role of the Southern provider, and Bolivia (18) and Guatemala (14) in the role of the beneficiary.

An overview of the number of all cooperation relationships and measures of German development cooperation with its TrC partners can be found in Annex 8.5.

**Figure 5** Geographical location of the Southern providers, dual actor and beneficiaries of BMZ-funded trilateral cooperation measures



*Note: Uruguay crossed the income threshold for high income countries for 2014 to 2016 and was taken off the list of beneficiary countries in 2018 (BMZ, 2018b). In the beneficiary role, Uruguay cooperated with German development cooperation to realise TrC measures between 2016 and 2018.*

*Source: own figure.*

<sup>10</sup>According to the World Bank definition, low-income countries (LIC) are those countries whose annual gross national income per capita is lower than USD 1,045. Middle-income countries (MIC) register gross national income of between USD 1,046 and USD 12,375 per capita, and high-income countries have an annual per capita gross national income of more than USD 12,376. (The World Bank Group, n.d.).

### 3.2 Financing of the German contribution

During the period from 2006 to 2017, the TrC measures taken as the basis for the evaluation accounted for 0.047 % of the BMZ budget.<sup>11</sup> On average, the total budget per measure (composed of the contributions of German development cooperation, Southern providers and beneficiaries) was around EUR 550,000. The German contribution to the TrC measures averaged EUR 263,000 per measure. This was mobilised via BMZ bilateral and regional funds, since there is no funding specifically earmarked for TrC.

A total of 57 TrC measures were supported from bilateral funds, of which 25 measures were financed from the Study and Expert Funds (SFF) of various countries (e.g. Costa Rica, Guatemala, Thailand). In sub-Saharan Africa, TrC was implemented and financed exclusively via a bilateral intervention, in contrast to Southeast Asia where SFFs were the primary and bilateral interventions the secondary means of implementation and financing. During the period under consideration, 52 measures were financed with regional funding via the LAC Fund. Five measures were supported with mixed financing made up of bilateral and regional funding or bilateral and sector-programme funding. The measures in the latter case were PTB measures (cf. Tabelle 2).

**Table 2 Forms of financing and the German contribution for trilateral cooperation measures**

Region	Form of financing	Number of measures	German contribution (in EUR)
Latin America and the Caribbean	Regional	52	13,500,000
	Bilateral – projects	21	3,987,000
	Bilateral – SFF	11	1,032,000
	Regional and bilateral	3	4,500,000
	Sector programme funding	1	1,000,000
	Bilateral and sector programme funding	2	850,000
Sub-Saharan Africa	Bilateral – projects	7	1,950,000
Southeast Asia	Bilateral –SFF	14	2,178,000
	Bilateral – projects	4	1,005,000

Source: own table.

There is a difference in financing between pure TrC measures and bilateral or regional interventions that include the implementation of TrC as one field of action. Bilateral programmes pursue the objective of strengthening the respective development cooperation structures of the Southern providers, and to this end, TrC has been among the measures financed from the bilateral budget. For example, the bilateral project "South-South and Triangular Cooperation and Networks for Global Governance" with Indonesia used its project budget to finance the German contribution for individual TrC measures with Indonesia and

<sup>11</sup> The share of the BMZ budget allocated to TrC refers to the period up to the end of 2017. Since the analysis of the portfolio includes information up to April 2018, no statements can be made about the total TrC budget and funding commitments for the year 2018. To permit calculation of the share, measures with existing funding commitments and the BMZ budget to the end of 2017 were used as the basis for calculation.

beneficiaries Myanmar and Timor-Leste respectively. SFF support is a further form of financing from bilateral funding. After German development cooperation in Thailand and Malaysia ended, the residual resources committed to bilateral interventions were transferred into the existing SFFs and made available to support other activities such as TrC.

The BMZ also made use of regional funding to finance TrC. This was primarily mobilised under the Regional Fund for Triangular Cooperation in Latin America and the Caribbean (LAC Fund): one of its three fields of action, referring to joint TrC measures with appropriate partners, finances the German inputs to the measures (cf. Kasten 1). A characteristic of regional funding is that no bilateral commitments are made to individual countries. In the case of the German funds used to support TrC, the partner countries do not pay in any financial resources, and the funding is not jointly administered. These funds merely guarantee the provision of German financial resources for a defined purpose – in the present cases, to support TrC.

Overall, during the period under review, the German portfolio contained four ongoing bilateral or regional superordinate interventions or funds, and four that had been concluded (cf. Tabelle 3). The subsequent analysis of the portfolio disregards the budgets of the bilateral and regional superordinate interventions and only takes into account the budgets of the actual TrC measures carried out. Otherwise, some double-counting of the financing volume would occur because the bilateral/regional budget is not spent exclusively on TrC measures.

**Table 3** Bilateral and regional interventions of German development cooperation with trilateral cooperation as a field of action (in the period 2006–2018)

Region	Ongoing	Ended
Latin America and the Caribbean	Regional Fund for Triangular Cooperation in Latin America and the Caribbean (LAC Fund)	<b>Chile:</b> Fund for Triangular Cooperation
	<b>Brazil:</b> Programme Promoting Trilateral Cooperation	
		<b>Mexico:</b> Fund for Triangular Cooperation
Southeast Asia	<b>Thailand:</b> Thai-German Triangular Cooperation	<b>Malaysia:</b> Trilateral cooperation between Malaysia, Germany and developing countries in Southeast Asia
	<b>Indonesia:</b> South-South/Triangular Cooperation and Networks for Global Governance (SSTC/NGG)	
Sub-Saharan Africa		<b>South Africa:</b> Support for trilateral cooperation in South Africa (TriCo Fund)

Source: own table.

### Box 1 Regional Fund for Triangular Cooperation in Latin America and the Caribbean

In LAC, the "Regional Fund for Triangular Cooperation in Latin America and the Caribbean" (LAC Fund) is implemented by GIZ under commission from the BMZ. In the period from 2010 to the end of 2018, the Fund was allotted a contract volume of around EUR 11 million<sup>12</sup> (Documents 1, 2) and is subdivided into three fields of action:

1. Financing of the German contribution to TrC measures;
2. Human capacity development course (HCD) through continuing education and training;
3. Regional visibility and dialogue.

The Fund has existed since 2010 and pursues the overall objective: "Triangular cooperation projects between Latin American and Caribbean partner countries and Germany foster public policies for sustainable development in the partner countries" (GIZ, n.d.). Since the Fund was launched, a total of 52 measures have been implemented, i.e. 45 % of all German TrCs in the period under review. All 22 ongoing TrC measures in or from LAC were coordinated and, with one exception, also financed via this regional fund. As the Fund has no political executing agency on the partner side, there is no direct political contact partner. GIZ bears the responsibility for management. Southern providers are required to be countries from LAC, while beneficiaries can also come from other global regions. The Fund comprises three fields of action:

1. In the first field of action, the focus is on the financing of the individual TrC measures and the application and approval procedure. In May and November of each year, a call for proposals is published, in which proposals for TrC measures can be submitted. Proposals are submitted to the German embassies either by a beneficiary, by a Southern provider, or by both parties jointly. There are no thematic restrictions or prescribed priorities. Usually six to ten proposals are submitted, and a rising trend is noted although the budget remains the same. The prerequisites for a positive funding commitment are that coordination between the three actors and joint preparation of the proposal must take place in advance, and that the technical and political levels are involved in equal measure. The selection is ultimately made by the BMZ, with advisory input from GIZ. During the criteria-based selection process, care is taken to ensure that demand exists in the beneficiary country, that the measure is coordinated with the given development agency or foreign ministry, and that realistic targets and indicators and the establishment of a monitoring system are planned. While standards such as monitoring and evaluation (M&E) and gender analyses were waived in the Fund's early days, these have been incorporated since a project evaluation in 2015 (Document 3).

According to the Fund's criteria, not only German development cooperation but also the Southern providers are required to contribute financially to the TrC measure. This contribution has to be at least the same size as Germany's, but can indeed exceed it. The analysis shows that the share contributed by Germany in the period from 2010 to 2018 is an average of 37 %, while the Southern providers involved in measures under the LAC Fund contribute as much as 41 % and the beneficiaries, on average, 21 %. The German contribution is limited to EUR 300,000 in order to enable the matching of contributions by the Southern providers. For reporting, GIZ contacts the stakeholders for status updates during the measure and requests short concluding reports at the end. Furthermore, external evaluations and ex-post evaluations are also envisaged. The process for ex-post evaluations was developed in 2015 and piloted in 2015/2016. For the period under review, a total of 19 evaluations by independent consultants were available.

<sup>12</sup> Figures provided by the BMZ state that a total of EUR 24.15 million was invested up to 2019. According to GIZ, the investment total amounts to EUR 26.95 million. From the project documents made available to the evaluation team, it is only possible to discern funding commitments of EUR 11 million.

2. In the second field of action, an introduction to TrC as well as continuing education and training courses in planning, M&E, steering and project management are offered. These are delivered in the form of five virtual and two face-to-face courses, at the end of which all attendees have to sit a test. Attendees are recruited by inviting the participants in a TrC measure, from both the political and the specialist technical level, specifying that the persons concerned should attend at least two of these HCD courses.

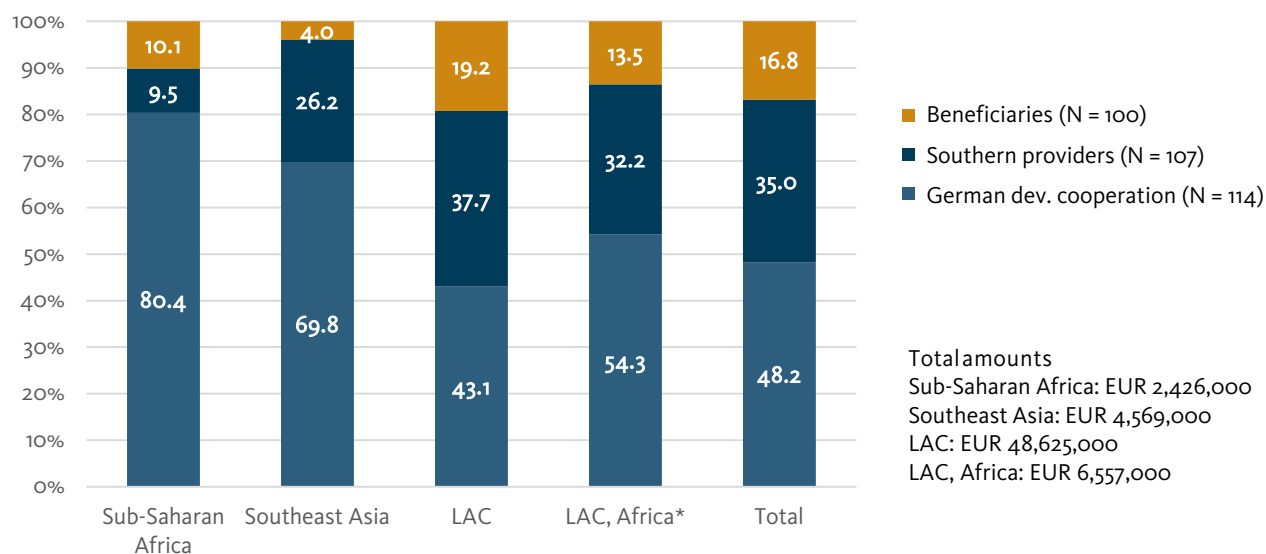
3. Under the third field of action, regional TrC conferences are organised, financed and hosted in cooperation with partners in order to foster the dialogue about the TrC modality on the political level as well. The debate is not confined to the modality in general but also addresses the LAC Fund specifically. Most recently, a themed conference on "The Role of Triangular Cooperation in the Implementation of the 2030 Agenda" was held in Lima in 2017. The conferences are to be held regularly every two years in rotating partner countries and are intended to foster exchange and the visibility of the modality. At the same time, they represent important opportunities to come up with new ideas for action as a result of personal interaction.

### 3.3 Contributions of all actors

In the case of joint TrCs, all cooperation partners make a contribution of their own (subchapter 1.2). German development cooperation does not want to act as the sole financier and demands own contributions from the other partners. The contribution can either be "in kind", i.e. technical, material or personnel resources, or "in cash", i.e. monetary. In addition to its financial inputs, German development cooperation makes in-kind contributions in the form of expertise and project management. Furthermore, it is an active contributor to TrC in terms of experience and knowledge (Document 15). It is able to quantify its in-kind contributions, which is not usually possible, or not with such completeness, for the other two actors.

Southern providers and beneficiaries make in-cash and in-kind contributions such as supplying personnel, expertise and logistics. It should be noted in relation to the subsequent analysis that in-kind contributions in the underlying data were not quantified retrospectively, and – as far as is known – only monetary contributions are included in the results. In the event that in-kind contributions in the underlying data were quantified by the responsible IOs, these are used. Since in-kind contributions are not included in the analysis, the numbers of cases with reference to contribution totals vary between the roles. The recording and quantification of contributions has posed a challenge for the actors in TrC and possibly does not always reflect the actual contributions made. The values presented therefore only serve the purpose of orientation and classification.

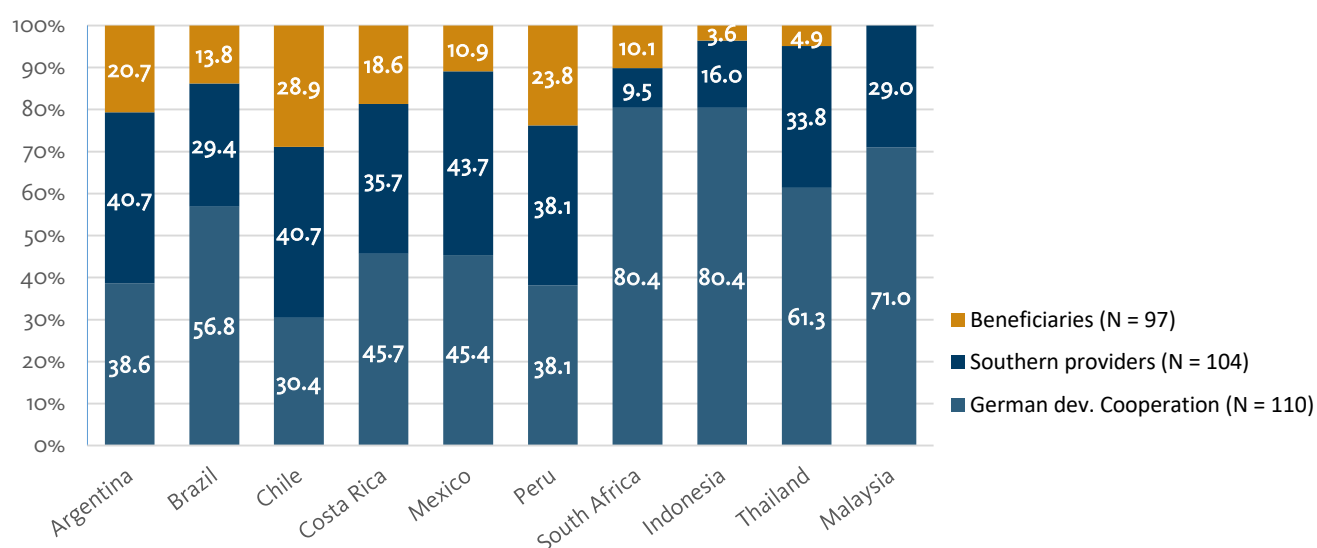
On considering the portfolio as a whole, the share of own funds globally in the period from 2006 to 2017 was 35 % for the Southern providers and around 17 % for the beneficiaries, while German development cooperation contributed an average of 48 % of the financial inputs (cf. Abbildung 6). The own contributions varied significantly by region and country. Within the LAC, Southern providers contributed around a 38 % share and beneficiaries a 19 % share from their own resources as BMZ required. In the case of intercontinental TrC between LAC and Africa, the Southern providers also contributed a sizeable share of around 37 %. In Southeast Asia, the beneficiaries contributed only 4 % of the budget. The contribution of German development cooperation was highest in sub-Saharan Africa and Southeast Asia, at around 80 % and almost 70 % respectively, and lowest in LAC at around 43 %.

**Figure 6 Contribution to financing, by role and region (in per cent)**

\* The bar labelled "LAC, Africa" represents intercontinental TrCs.

Source: own figure.

Abbildung 7 shows the shares of financing of TrC measures borne by Southern providers as compared with those of German development cooperation and the beneficiaries involved. The variance of the contributions in the different constellations is seen here with particular clarity: in cooperation with Chile, German development cooperation contributed only approx. 30 % of the measures budget on average, whereas in cooperations involving Indonesia and South Africa its share was 80 %. Mexico, Argentina and Chile made the highest contributions proportionally of all Southern providers, and are above the average in LAC. In the Southeast Asian region, the beneficiaries' contributions were very low, and even non-existent in the case of Malaysia. Once again, however, it should be noted that in-kind contributions are not quantified, and hence not shown.

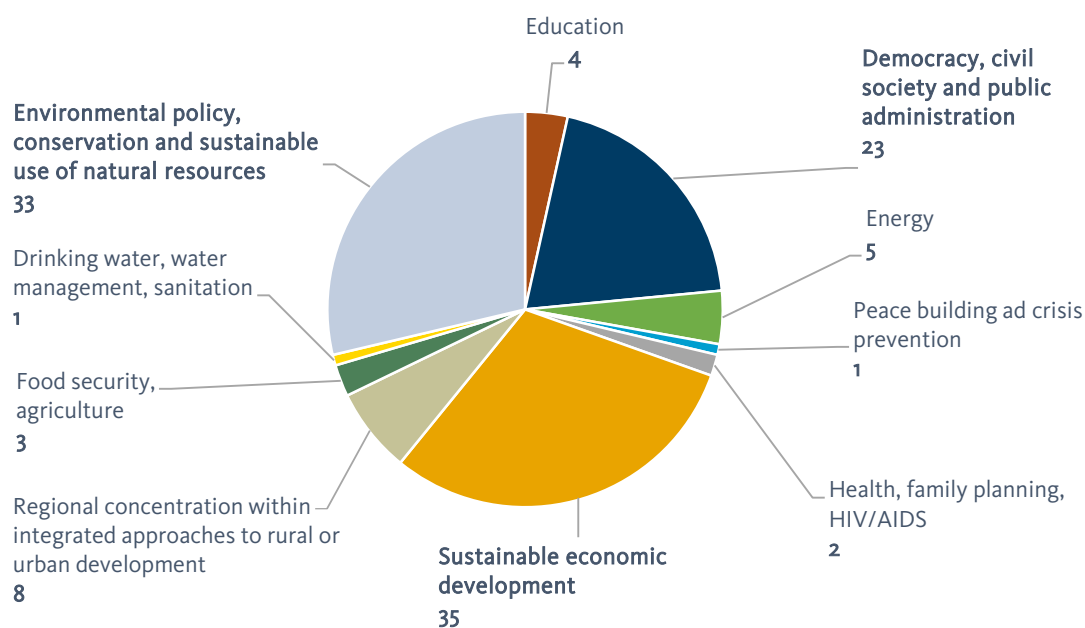
**Figure 7 Proportional contributions, by Southern provider (in per cent)**

Source: own figure.

### 3.4 Sectors

Thematically, TrCs are not oriented to specific sectors. Among the total of ten sectors served by TrCs, however, there was a clear focus on the fields of environmental policy, sustainable economic development and democracy, civil society and public administration (Abbildung 8).

**Figure 8** Sectoral distribution of trilateral cooperation measures

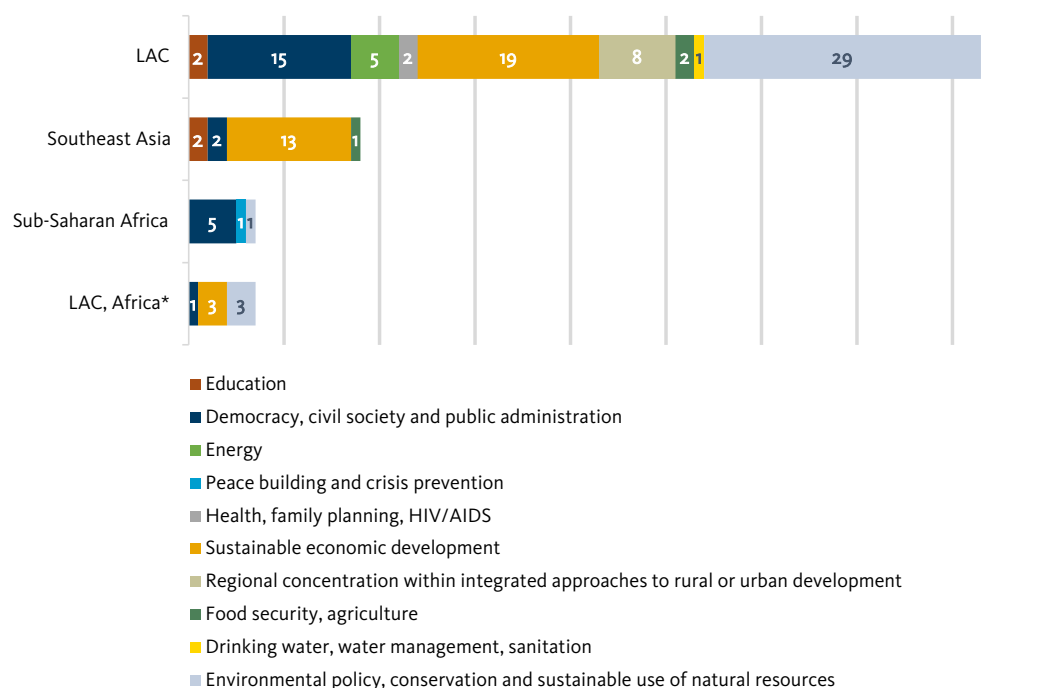


N = 115

*Stated in absolute numbers.*

*Source: own figure.*

In keeping with the high number of TrC measures in LAC, nine out of ten sectors (the exception being peace building and crisis prevention) were covered in that region. In sub-Saharan Africa only three sectors were served (democracy: 5 measures; peace building: 1; environmental policy: 1). The greatest share of the German contribution (62 %) was applied in the democracy, civil society and public administration sector, correlating with the higher number of measures. The sole TrC measure in the environmental policy sector received 26 % of the German funding, the greatest share for a single measure in this region. The peace-building sector accounts for 12 %.

**Figure 9** Sectoral breakdown of trilateral cooperation measures, by region

\* The bar labelled "LAC, Africa" represents intercontinental TrC.

Stated in absolute numbers.

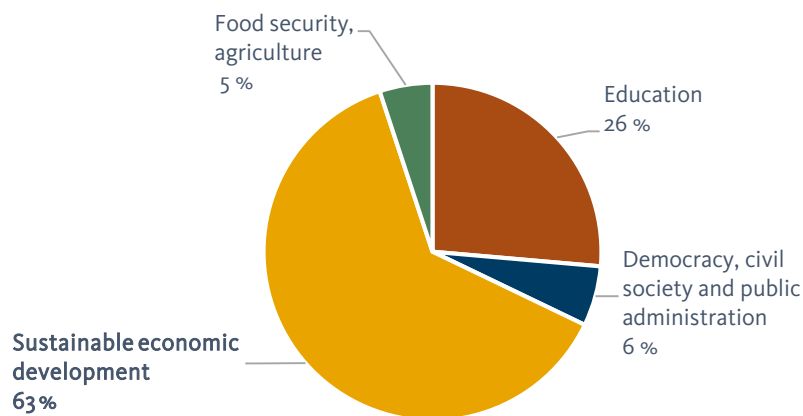
Source: own figure.

In LAC, reflecting the sector with the highest number of TrC measures, the greatest share of the German contribution was spent in the environmental policy and protection of sustainable resources sector (29 %). The topics addressed cover a wide spectrum: from supporting national forestry policy in Bolivia to strengthening waste management in Colombia. The PTB measures on quality infrastructure and natural gas measurement technology belong to the sustainable economic development sector. This sector received support amounting to 19 % of the German contribution. The health sector was also allocated 19 % of the German budget, although only two measures were implemented here. One of the two measures, in which 18 beneficiaries are participating, accounts for approx. 85 % of the budget in this sector.

Turning to the intercontinental TrC measures, the largest share of the German budget, at 72 %, was allocated to the environmental policy sector. Two out of three measures were carried out in cooperation with Brazil, addressing the field of risk management in Mozambique. In the sustainable economic development sector, three measures were implemented but only received 28 % of the funding contributed by Germany. The democracy sector was addressed by a measure between Chile and Mozambique.

In Southeast Asia, four sectors were covered, with sustainable economic development as the focus of 13 of 18 TrC measures (Abbildung 9). This is reflected in the distribution of the German contribution (Abbildung 10): 63 % of the total amount was spent on this sector. The education sector received considerably more financial support from German development cooperation compared with the democracy, civil society and public administration sector, although two measures were implemented in each of the two sectors.



**Figure 10** Share of German contribution per sector in Southeast Asia

Total German contribution = EUR 3,184,000.00

Source: own figure.

### 3.5 Dual actors

Dual actors are countries which take on the formal role of Southern provider and of beneficiary in different measures. They are a distinctive characteristic of TrC and cannot be assigned to a single role across a number of measures. The existence of this possibility within TrC shows a certain flexibility in the application of the roles, and in the modality itself. At the same time, it expresses recognition by signalling that each actor has something to offer and something to learn in different areas.

During the period covered by the evaluation, Peru was the only dual actor in the German portfolio with a relatively balanced number of measures both as a Southern provider and as a beneficiary. Other countries also featured as dual actors in TrCs involving German development cooperation (Tabelle 4). However, these characteristically perform one role predominantly while the other role is secondary. In occasional instances, such as Argentina, the number of cases is so low that it cannot be described as an intensive dual actor. In two measures, Argentina also acted jointly with a series of other beneficiaries, so that cooperation with the corresponding Southern provider took place at lower intensity or on a one-off basis only. Actors which operate primarily as Southern providers and are beneficiaries in other measures cooperate mainly with other designated Southern providers when they are in the beneficiary role. Accordingly, when actors which otherwise predominantly assume the beneficiary role participate as Southern providers in TrC measures, they cooperate with actors which are purely beneficiaries.

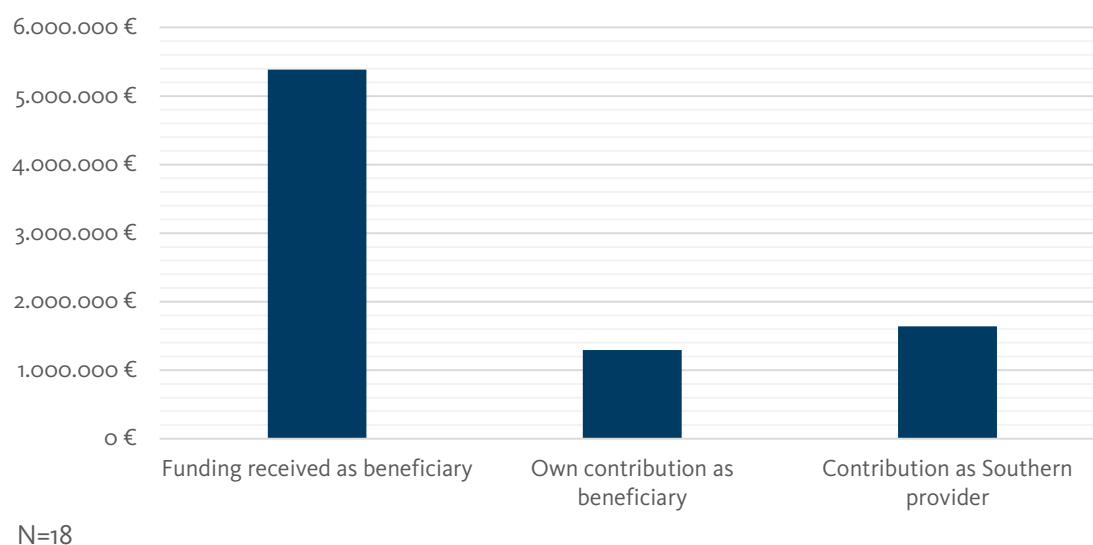
**Table 4** Number of triangular cooperation measures per actor as Southern provider and as beneficiary

Actor	As Southern provider	As beneficiary
Argentina	3	2
Chile*	33.5	2.5
Ecuador	1	7
Colombia	1	11
Mexico	24	1
Peru*	7.5	10.5
Uruguay <sup>13</sup>	1	4

\* In one measure, Chile and Peru perform all functions on an equal footing, which is why it the formal distinction between Southern provider and beneficiary is impossible to make here. The measure was therefore attributed half each to the respective roles.

Source: own table.

The dual role is expressed not only by the formal designation but also, in the case of Peru, by the own contributions to the corresponding measures. Although the total financial resources received as a beneficiary was significantly greater than the total contributed as a Southern provider, it was nevertheless evident that its own contributions as beneficiary and as Southern provider were approximately in proportion (Abbildung 11).

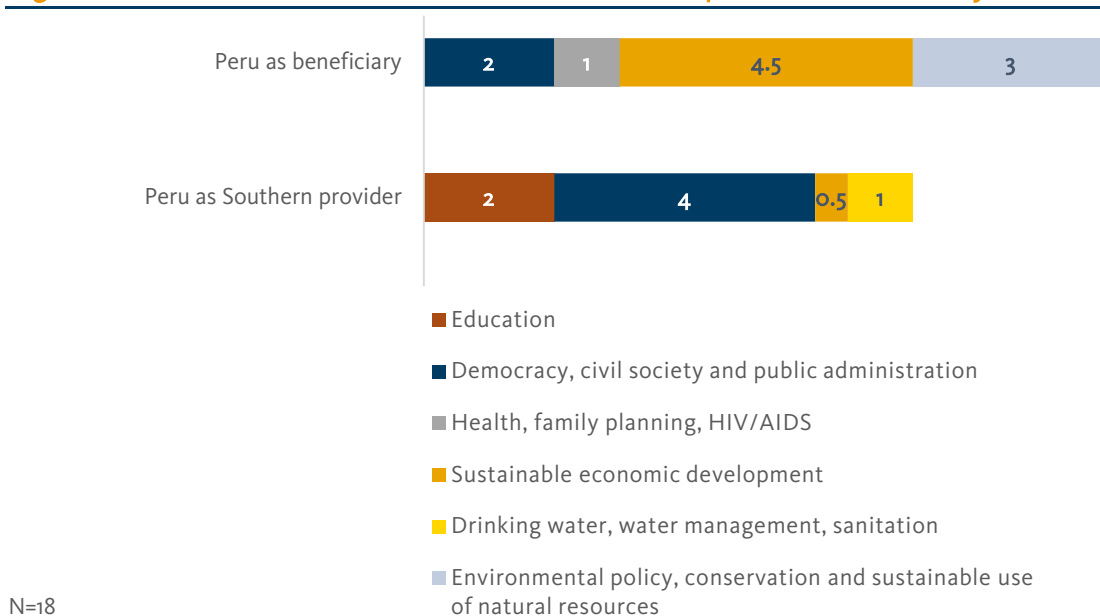
**Figure 11** Total of contributions by Peru as a Southern provider and as a beneficiary

Source: own figure.

<sup>13</sup> Uruguay, like Chile, exceeded the income threshold for high-income countries from 2014 to 2016 and was removed from the list of beneficiary countries in 2018 (BMZ, 2018b). The TrC measures listed here with Uruguay as a beneficiary took place between 2007 and 2010 and between 2016 and 2018 respectively.

In sectors in which Peru acted as a beneficiary in TrC, such as environmental policy or sustainable economic development, the expertise developed in the role of Southern provider was barely passed on in TrCs. One exception was the democracy, civil society and public administration sector, which was the focus of Peru's activities as a Southern provider (Abbildung 12). When Peru acted as a beneficiary, the Southern providers were Brazil, Mexico or Chile. As a Southern provider, Peru worked with the beneficiaries Bolivia, Guatemala, Honduras and Paraguay, which feature primarily as beneficiaries in the German portfolio.

**Figure 12 Peru: Sectoral distribution of trilateral cooperation measures, by role**



*Stated in absolute numbers.*

*Source: own figure.*

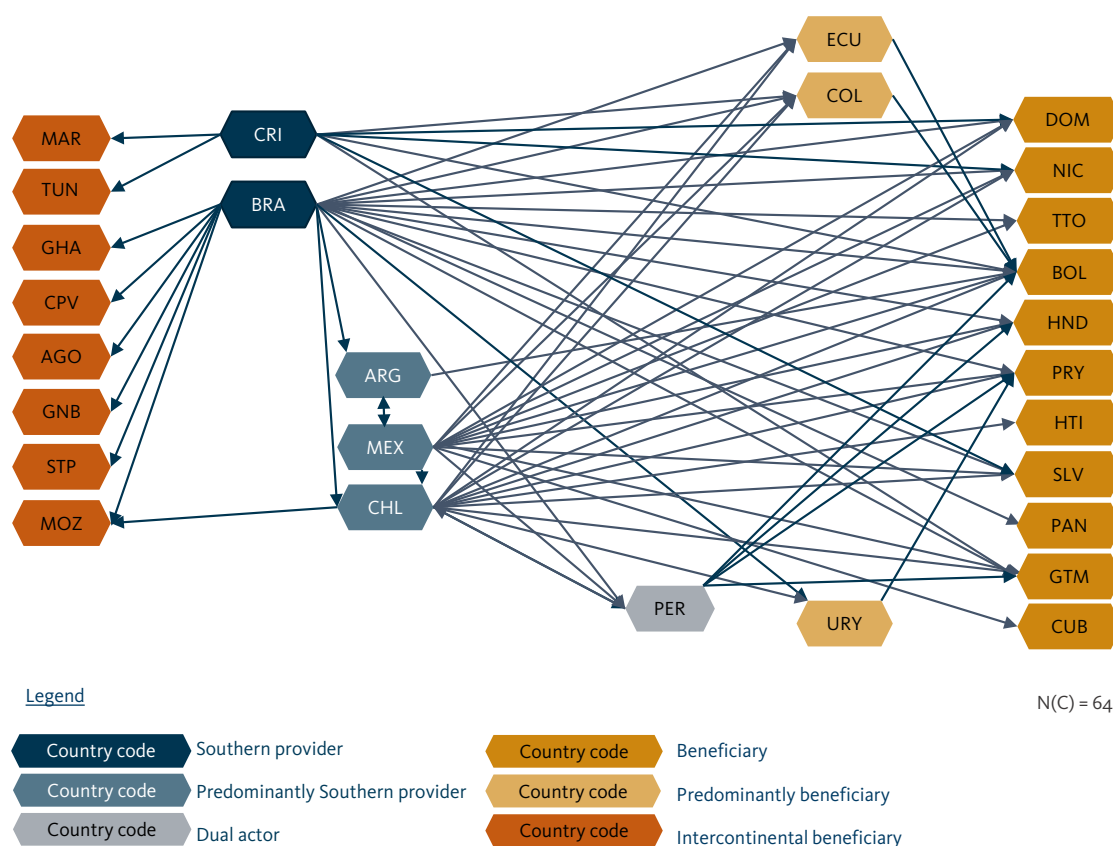
### 3.6 Description of cooperation relationships

Cooperation relationships express the cooperation of the actors within a TrC. They are the lines connecting the three vertices of the triangle. Cooperation relationships arise both between German development cooperation and the Southern providers and beneficiaries, and between the Southern providers and beneficiaries in any given TrC. It is possible to implement several measures jointly within one cooperation relationship (Chapter 2.1). Several TrC measures involving identical actors provide indications of the intensity of a cooperation relationship. Analysis of the portfolio yields a total of 137 cooperation relationships across all roles. Within the framework of TrC, German development cooperation maintains a total of 47 cooperation relationships: with actors in nine Southern provider countries, with 37 beneficiaries and with one dual actor. 90 TrC relationships exist between Southern providers and beneficiaries. Annex 8.5 shows an overview of all Southern providers and beneficiaries, by region, including their respective number of cooperation relationships and measures.

The following section gives an account of the cooperation relationships of German development cooperation and the partners featuring most frequently in the portfolio, broken down by region. It begins by examining the partners of German development cooperation in LAC, before turning attention to the cooperation relationships in sub-Saharan Africa and Southeast Asia.

Abbildung 13 shows the cooperation relationships in LAC between Southern providers, the dual actor Peru, and beneficiaries. It also highlights the cooperation relationships of actors which predominantly perform either the Southern provider or the beneficiary role. Beyond this, it shows the intercontinental cooperation relationships between Southern providers in LAC and beneficiaries in Africa.

Figure 13 TrC cooperation relationships in LAC and between LAC-Africa



Note: A list of the country codes is given in Annex 8.6.

Source: own figure.

Due to the large number of TrC measures in Latin America and the Caribbean, many cooperation relationships existed. In particular, actors from Chile (34 measures), Mexico (24), Peru (18), Bolivia (18), Guatemala (14) and Brazil (11) were found to be maintaining ongoing and intensive trilateral cooperation relationships with German development cooperation.

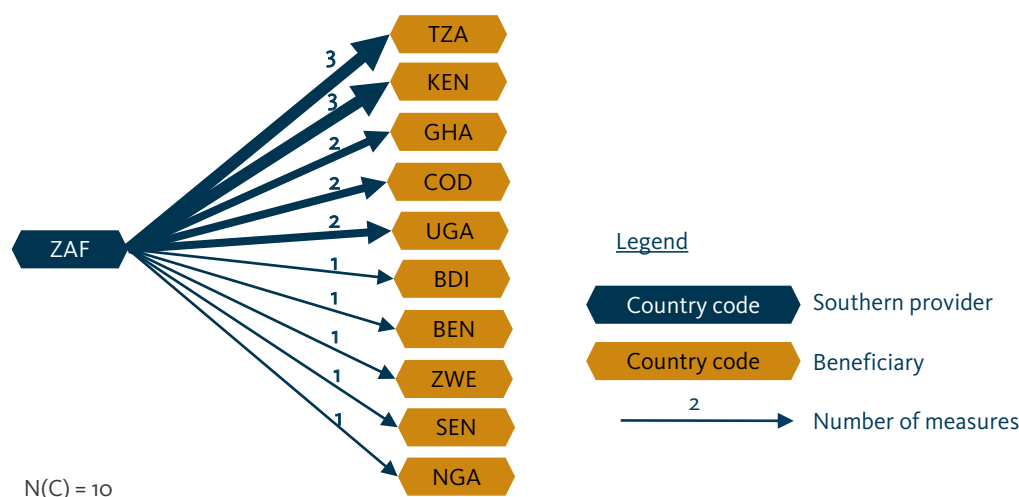
**Chilean development cooperation partners** were the sole Southern provider in 32 out of 34 TrC measures carried out with German development cooperation. In terms of monetary contributions, Chilean partners contributed just as much as German development cooperation in 17 cases, and even more in four cases. The sectoral focus was on sustainable economic development (15 measures), followed by democracy, civil society and public administration (9 measures). In the constellation involving actors from Chile and German development cooperation, the majority of TrC measures were implemented jointly with actors from El Salvador in the role of beneficiary. The fact that these have been implemented successively since 2006 and 2009 respectively is the expression of an enduring cooperation relationship.

Of the measures implemented with **Mexican actors**, half can be assigned to the environmental policy sector (12 out of 24 measures). For three measures in each case, cooperation partners came from Bolivia and Guatemala respectively. Consequently, these countries have the most continuous cooperation relationships with German and Mexican development cooperation in the TrC constellation. German and Mexican development cooperation cooperated on four measures with other Southern provider partners, and on six measures with several partners from different countries as beneficiaries. In the German portfolio, such multi-actor constellations with more than three actors fulfilling the roles within one measure occur most frequently with Mexican partners. The longest cooperation relationship within the framework of TrC in the German portfolio is sustained by actors from Mexico and Guatemala. Since 2006, seven measures have been or are being jointly implemented. As a rule, these are of two years' duration. For actors from **Guatemala**, Mexican partners were the main Southern providers in TrC measures.

**Brazilian actors** and German development cooperation jointly implemented a total of eleven TrC measures, six of which took the form of intercontinental TrC on the African continent. The focus was on actors in Mozambique, which accounted for four measures. Sustainable economic development and environmental policy were the sectors addressed. Two measures in the sustainable economic development sector took place with about a two-year time interval, resulting in interruption of the TrC-based relationship between the actors.

In the implementation of TrC measures with actors from **Peru** as Southern providers, the constellation that occurred most frequently was with partners from Guatemala (4 out of 7 measures). In the beneficiary role, Peru cooperated distinctly more variably with different Southern providers such as Chile, Brazil and Mexico. The main sectors to which the measures in **Bolivia** can be assigned are environmental policy (6) and democracy (4). Since 2104, three measures have been implemented jointly by Mexican partners and German development cooperation, continuously on a two-year cycle. This is indicative of an intensive cooperation relationship.

**Figure 14 Cooperation relationships in sub-Saharan Africa**

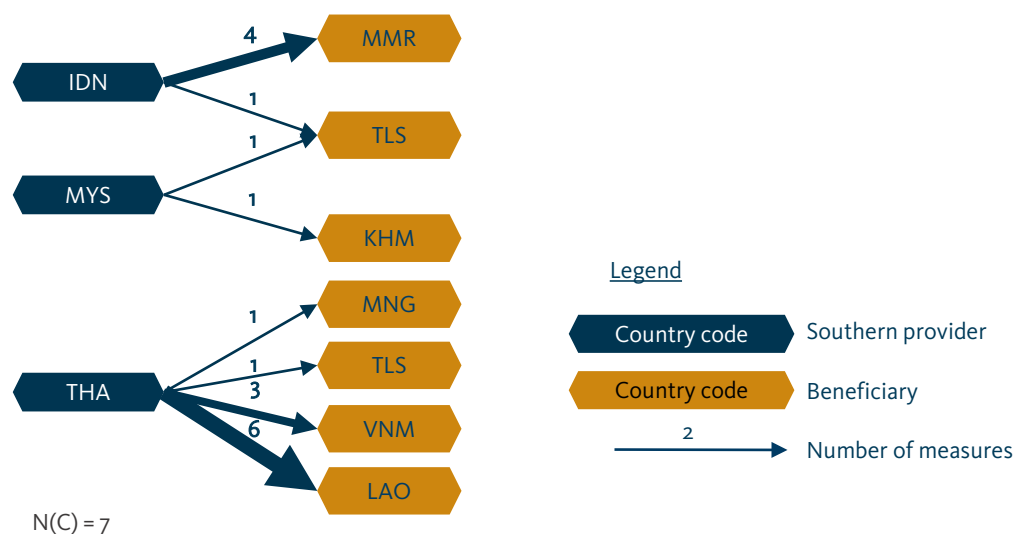


*Note: A list of the country codes is given in Annex 8.6.*

*Source: own figure.*

In sub-Saharan Africa, with South Africa as the sole country in the Southern provider role in the German portfolio, the number of TrC measures and hence the number of cooperation relationships was found to be low (Abbildung 14). Within the framework of TrC, German development cooperation had a cooperation relationship with South African development cooperation actors and with actors in ten beneficiary countries. A total of seven TrC measures were implemented, five of which were focused on the democracy, civil society and public administration sector. One measure was implemented together with partners from Kenya and Tanzania, carried out in two successive measures and extended to other countries as the second step. Thus, through TrC the partners from Kenya and Tanzania had an ongoing cooperation relationship with the South African actors and German development cooperation, while the partners from the other countries (Nigeria, Uganda, and Ghana) were later additions and only entered into a one-off relationship for the purpose of TrC. Overall, many partners in the beneficiary role were only involved occasionally and in a few, short TrC measures. In these cases there is no discernible evidence of a strong cooperation relationship between South African and German development cooperation actors due to TrC.

Figure 15 Cooperation relationships in Southeast Asia



Note: A list of the country codes is given in Annex 8.6.

Source: own figure.

In the Southeast Asian region, German development cooperation cooperated within the framework of TrC with actors from three countries in the Southern provider role (Indonesia, Thailand and Malaysia) (Abbildung 15). Thai development cooperation worked with four beneficiaries within the framework of BMZ-funded TrC, dealing with three sectors. Out of the eleven measures implemented, nine measures were addressed to the sustainable economic development sector. The first TrC measure together with Thai actors began in 2009 for a duration of five years. The measures in 2018 were just of one year's duration. Within the German portfolio, actors from Laos and Vietnam each engaged in trilateral cooperation solely with Thai development cooperation in the Southern provider role. Between 2011 and 2014, no new measures were started with partners from Laos, resulting in a two-year interruption in the cooperation relationship between Thai and German development cooperation and partners in Laos.

**Indonesian actors** implemented four TrC measures in Myanmar together with German development cooperation. Thematically, these focused on the field of vocational training. While at the beginning of the joint trilateral cooperation between actors from Germany, Indonesia and Myanmar the first measures lasted another seven years, at least two individual measures in 2017 and 2015 respectively contained only training and had a duration of under one year. The cooperation relationship between German development cooperation and Indonesian partners has been constant within the framework of TrC, since one new TrC measure on average has started every year since 2012. All in all, TrC is building on bilateral experience between Germany and Indonesia in the field of vocational training. The number of measures that German development cooperation implemented with Indonesian partners – five measures in total – is low, especially considering that the first one began back in 2007.

## 4. FINDINGS – CONCEPTUAL FRAMEWORK AND USE OF THE MODALITY

This chapter presents the findings on the modality of TrC obtained from data analysis on the conceptual level. In the first step, the existing objectives and expectations of TrC, on the part of German development cooperation as well as Southern providers and beneficiaries, are identified and described. Next, these objectives are compared with each other. The three roles are a crucial component of the modality. For that reason, the roles and the actors' role understandings are discussed in subchapter 4.2. The findings on the implementation of the modality on the conceptual level are presented in subchapter 4.3.

## 4.1 Objectives of the actors in the three roles

### Box 2 Main findings – Objectives of the actors in the three roles

All actors in the three roles attach a large number of different objectives and expectations to both dimensions of TrC, which cannot always be achieved to an equal degree. The objectives of the Southern providers and beneficiaries are largely in accordance with those of German development cooperation. However, some discrepancies and regional differences also exist.

The BMZ's TrC strategy contains a large number of objectives that are not systematically implemented and/or monitored. Southern providers and beneficiaries, for their part, seldom if ever have a TrC strategy of their own. Added to that, both political decision-makers and implementation-level stakeholders in the three roles associate many, mostly implicit, objectives with TrC.

### 4.1.1 Strategy and objectives of German development cooperation

The BMZ strategy paper on TrC is regarded as a course-setting document for German development cooperation on the use of the modality (BMZ, 2013). It explicitly lists five ambitious goals, targeted in various directions. The goals formulated in the BMZ strategy paper refer to all levels of impact, i.e. some of the stated goals do not belong on the outcome level, but denote either impacts, necessary outputs or even activities.

The BMZ goals can be assigned to the various impact levels as set out below. The numbering is taken from the strategy paper so that the goals can be reconciled with their original wording (subchapter 1.3)

- **Impacts:**

- 1a. Improving the effectiveness of development measures in the beneficiary countries.
- 2a. Establishing worldwide development partnerships for sustainable development.
- 3a. Jointly setting global development agendas.

- **Outcomes:**

- 2b. Exerting a positive impact on regionalisation.
- 5a. Fostering South-South cooperation and regional development.

- **Outputs:**

- 3b. Promoting the sharing of learning and experience on the principles of development cooperation and the ways in which it can impact.
- 5b. Fostering dialogue and networking.

- **Activities:**

- 1b. Complementary use and dovetailing of knowledge, experience and financial resources from emerging economies and from Germany.
4. Replicating/disseminating experience jointly gained through bilateral development cooperation with global partners and in other developing countries.



Furthermore, the strategy contains two implicit objectives which are not formulated and listed as concrete goals, but which occupy considerable space in the strategy:

- Firstly, the aim that through implementing development cooperation measures, Southern providers will learn about development cooperation procedures, principles and practices, as a means of strengthening their development cooperation structures and thus their role as development cooperation actors. With regard to strengthening development cooperation structures or agencies, German development cooperation's priority is not the specific technical development cooperation measure as such, but primarily the generation and broadening of applied development cooperation expertise. As one project document describes it, there should be less focus on the 'what' – i.e. which of the beneficiary's local challenges are to be addressed – and more emphasis on the approach to implementing a measure and the practical application of suitable new cooperation formats (Document 7).
- Secondly, the intention is to promote mutual learning by means of TrC, which is structured so that "the established donor and the emerging economy [authors' note: or Southern provider] share their learning experience" (BMZ, 2013: 4).

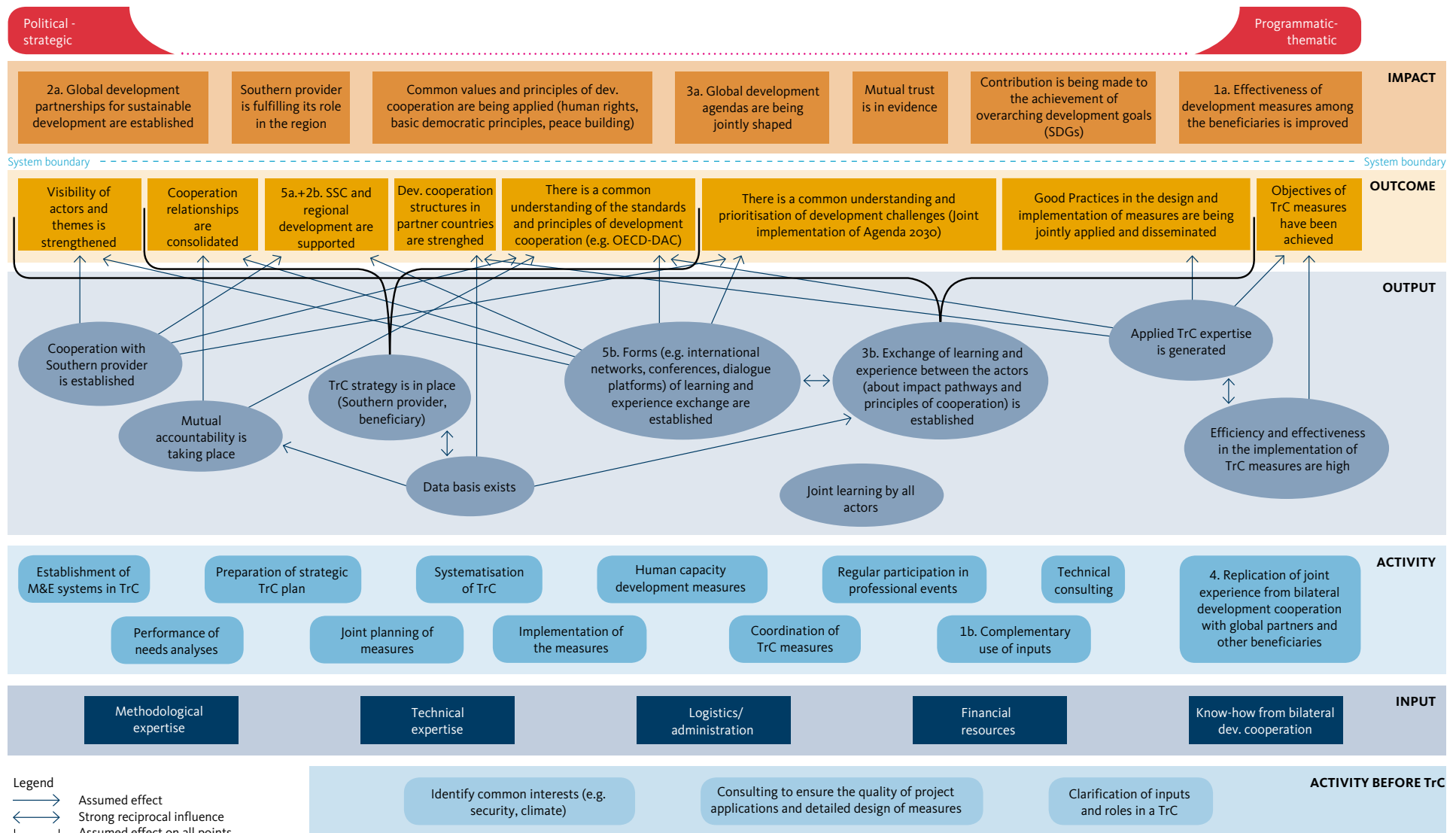
Both implicit goals are closely interlinked with the political-strategic and the programmatic-thematic dimension. Strengthening the Southern provider as a development cooperation actor and intensifying the exchange with that actor is a political-strategic component, while the contents of the exchange address the programmatic-thematic and technical domain.

Beyond this, the interviews with German actors make it clear that TrC is designed to achieve four further major objectives that are not found in the strategy paper:

- Establishing, maintaining and strengthening political-strategic cooperation relations, particularly with the Southern providers, is a clear priority of German development cooperation. The aim here is to extend the relationships beyond development cooperation and to establish a partnership on an equal footing with global development partners.
- Also mentioned as a further objective of German development cooperation is the motivation to share with the partners the (financial) responsibility for tackling global development challenges. TrC is seen as a means of coming together to implement the 2030 Agenda.
- A related objective is that of achieving greater international visibility for the modality of TrC, for German engagement in TrC and for development topics. German development cooperation would like to achieve this by means of such inputs as contributing to and promoting international conferences on TrC.
- On the programmatic-thematic dimension, the intention is to use and disseminate good practices, not just based on lessons learned from bilateral development cooperation but also on the experience already gained from trilateral cooperation. The purpose of this is to achieve the objectives of the measures and improve the effectiveness of the TrC measures.

Thus, political decision-makers and implementation-level stakeholders of German development cooperation associate a large number of explicit and implicit objectives with this modality. This diversity makes it more difficult for the actors to orientate the implementation of TrC measures towards the strategic objectives.

The stated objectives of the two dimensions are presented in diagrammatic form as a ToC in Abbildung 16. The numbered fields (1a to 5b) refer to the wording from the BMZ strategy paper (see above). The objectives and expectations inferred from the project documents and interviews are assigned to the corresponding impact levels. The diagram follows a vertical structure from bottom to top (Input – Activity – Output – Outcome – Impact). The arrows describe assumed causal relationships. For reasons of clarity, the diagram only shows assumptions about major positive cause-effect relationships on the impact level between Output and Outcome.

**Figure 16** Reconstructed ToC for trilateral cooperation from the viewpoint of official German development cooperation

Source: own figure.

To achieve the stated objectives from a German perspective, nine outputs are necessary. Two central outputs stand out from the ToC, which are envisaged as contributing to almost all the formulated objectives and reflect the expectations vested in TrC accordingly.

- The first central output of the modality of TrC is the **joint learning of all actors**. This is emphasised by many of the German actors interviewed, and is intended as a cross-cutting contribution to all objectives. The associated expectation is that at every step in a TrC measure, all parties are learning and better solutions can be devised. The learning that takes place may be methodological or technical, or may relate to procedures and structures.
- The second important output is the **exchange of learning and experience between the actors**, i.e. a form of mutual learning. Apart from the dialogue on impact mechanisms and principles of cooperation, above all this means the exchange of expertise on global as well as local development challenges and on the modality of TrC. Since appropriate formats are necessary to realise this, the output is closely linked to the formats of exchange. These can be networks, conferences or other dialogue platforms.
- Another output is reflected in the field of learning: the **generation of applied expertise** in practising TrC. The assumption is that learning by doing leads to an accumulation of knowledge by all partners, and that simultaneous application of the new knowledge can, for instance, strengthen development cooperation structures.
- High **efficiency and effectiveness in the implementation of TrC** are a further output. The aim in TrC is to achieve this through lessons learned or through replicating joint experience gained from bilateral German development cooperation with Southern providers. The efficiency and effectiveness of TrC measures are also to be enhanced by making complementary use of inputs.
- One desired output is a **strategic TrC plan from the Southern provider and the beneficiary**, which describes each party's own TrC strategy and is intended to chart the formal framework for TrC, so that clarity is created for partners about each other's objectives and expectations of TrC. A further assumption is that such a strategy defines the formal framework for TrC among the partners and thus affirms the partners' political will to pursue this form of cooperation.
- **Mutual accountability** is an output that finds its expression in a common understanding of procedures and terminology and in mutual reporting – for example, reporting on the costs of joint activities, which can also foster transparency. As a basis for this, a **data base** is required (as a further output), which is fed by a knowledge management or M&E system specific to the TrC measures.
- The final output listed is the **established cooperation with the Southern provider**. The underlying assumption is that cooperation should be in place before cooperation relationships can be consolidated, meaning before the modality of TrC is used for a cooperation project. Cooperation can be considered stable and equitable when measures are planned and implemented jointly, and when trustful discussions and dialogues are held on the objectives to be achieved under the measure. Subsequently this can culminate in a development partnership.

During the conception phase at the start of this evaluation, assumptions were made regarding two further outputs and outcomes. These cannot be confirmed by the findings, however.

- The first of these assumptions was that establishment of the partners' development cooperation structures would take place on the output level within the framework of TrC. While the existence of development cooperation structures is a necessary precondition for strengthening them, the establishment process itself is not supported within the TrC framework. This is where the bilateral interventions mentioned in Chapter 3 come to bear.
- A second output that cannot be confirmed, or is integral to other aspects, is the assumption that negotiation processes about development challenges are being conducted. In the context of TrC, these are implemented partly through needs analyses and participatory planning on the activities level, and partly through the exchange of learning and experience on development topics.

Ahead of the evaluation, it was additionally assumed that within the framework of TrC, raising transparency and taking intercultural specificities of the partners into account in the conception of a measure were further objectives linked with TrC on the outcome level. As this proved not to be confirmed, these objectives are not shown in the diagram. Transparency is a cross-cutting issue that is expressed in mutual

accountability and leads to mutual trust. With regard to the intercultural specificities, it became evident that these are defined as success factors (cf. subchapter 5.3.2) and cannot be classified as an objective of the modality.

In the use of the modality and the planning towards achievement of the objectives, there is barely any sign of systematic work on the listed objectives of German development cooperation – especially the strategic ones – in the concrete implementation of TrC. It is not clear from most of the available project documents, which were created after the BMZ strategy paper was published in 2013, to what extent the goals from the strategy paper are systematically transposed into the TrC measures. Only in the LAC region do the LAC Fund and the trilateral programme with Brazil, both of which are overarching programmes, make reference to the said strategy paper. These focus on the implicit objectives, such as joint learning and the empowerment of the Southern provider as a development cooperation actor. The project documents merely affirm: "The intervention is in harmony with the BMZ position paper 'Triangular cooperation in German development cooperation' (5/2013)" (e.g. document 5). What contribution the TrC measure will make to the implementation of the strategy in detail is not explicitly discussed or backed with indicators, as is done for example when relating the OECD-DAC criteria to the programmatic-thematic dimension (Document 7). Hence, the contribution to the political-strategic dimension is not considered systematically. The programmatic-thematic objectives of the measures are foregrounded in the project documents, and can only be placed in the context of the strategic objectives incompletely and unsystematically. Equally, the responses of the German actors interviewed about their objectives and expectations are not linked to the strategy paper. In general, the connection between strategy and practical implementation is missing, precluding the possibility of systematically tracing the achievement of strategic objectives. The pursuit of these objectives in the measures is thus dependent on the given individuals and institutions. Particular individuals and institutions can wield great influence over the detailed design of TrCs. For example, this might result in TrC measures being designed in such a way that they are not aligned with the strategy at all.

#### 4.1.2 Strategies and objectives of Southern providers and beneficiaries

Most actors in the two roles have not so far developed an explicit TrC strategy, complete with definition, target corridor, possibilities and limitations. Some countries plan to formulate such a strategy, however. Along with Indonesia and Thailand, Latin American countries especially – such as Chile, Peru, Mexico, Costa Rica, Brazil and El Salvador – have already made progress in this regard, supported to some extent by German development cooperation.

It became clear from the case studies that Southern providers and beneficiaries use the modality of TrC to pursue five main objectives on both dimensions. In the following, these are briefly explained together with their associated sub-objectives.

- The first key objective expressed by many Southern providers and some beneficiaries is the desire to use TrC to consolidate cooperation relationships. Here they concentrate both on their relationships among themselves in the form of SSC and on the relationship with German development cooperation as a trusted and reliable development partner. These relationships operate not only on the level of development policy but also that of economics and foreign policy. In terms of economics, Southern providers like Brazil, South Africa, Indonesia and Thailand pursue objectives such as promoting exports and opening up new markets, especially in Africa. In individual cases, interviewees report that for a TrC they specifically choose beneficiary countries with a trade deficit, which could be balanced out by a boost in exports. Reconciling these foreign and economic policy interests with development policy interests sometimes poses a challenge. Actors in South Africa report that they make sure they conduct their public procurement in South Africa. This shows that their focus is on the benefit to South African companies, even if this does not serve the programmatic-thematic objective of the measure. The interviewees also make repeated reference to envisaged TrC measures with China, within which German development cooperation would like to engage with China in an exchange of development-policy learning and experience and a dialogue on development policy principles and standards. China uses TrC as part of its foreign and economic policy, principally for the promotion of exports.

- The second objective for Southern providers and beneficiaries, achieving the **2030 Agenda** goals, is an important component of TrC. Actors in both roles point out that merely by implementing TrC they are contributing to SDG 17 ("global partnership for sustainable development"). Many actors in both roles want to show, through TrC, that they are honouring their international obligations by taking on a larger commitment in the field of development policy, and hence more responsibility.
- The third objective consists of the **achievement of individual TrC measure** objectives on the programmatic-thematic dimension. This is the focus for Southern providers and, above all, for many beneficiaries. Southern providers mainly wish to pass on their accumulated knowledge and development experience, from which beneficiaries explicitly want to benefit. Beneficiaries wish to obtain technical expertise from various partners (including German development cooperation) and mention knowledge transfer as an important goal for them within TrC.
- The **visibility of the actors, partnerships, topics and the form of cooperation** is another key objective of South providers and beneficiaries. This is evidenced by the growing number of international conferences (BAPA+40, OECD and LAC Fund conferences) on SSC and TrC, which are strongly supported by German development cooperation. These are events where actors not only present their own activities but also agree new cooperations. For some Southern providers such as Brazil, Costa Rica and Peru, the visibility of their engagement in development cooperation is of strategic importance with regard to their bids for accession to the OECD. For beneficiaries, the visibility of the content of measures is important, since development topics can be prominently positioned at national level. Moreover, they reason that the participation of German development cooperation in a TrC will enhance the legitimacy of the measures.
- A fifth key objective is the motivation of most Southern providers – as well as some beneficiaries – to learn **project management, planning, steering, coordination and methods of development cooperation** from German development cooperation within the framework of TrC. In this way they are acknowledged as development actors and their engagement in development policy is made visible. Some beneficiaries also cite this objective with confidence. They possess experience in selected sectors, which they wish to pass on, and see the area of project management as a field of learning for themselves. Linked to this, another key expectation of TrC, both for Southern providers and for beneficiaries, is that of receiving financial resources through TrC for the implementation of development cooperation, since their own resources are limited.

#### 4.1.3 Comparison of objectives and expectations

There are more commonalities than discrepancies between the objectives of the actors in the three roles. A consensus prevails across all roles and regions that the establishment and strengthening of political-strategic cooperations and cooperation relationships by means of TrC represent a priority objective. They wish to use TrC to gain or retain international allies and strategic alliances. Here the focus is on the benefit of extending their respective contacts and their international influence. However, this entails the challenge of avoiding possible discrepancies in objectives, and agreeing and pursuing a common line in TrC. Hence, TrC is also tied into foreign policy interests: almost all partners of German development cooperation lodge the responsibility for development policy with the Foreign Ministry. Topics are chosen that appear worthwhile in development policy terms, in order to manifest the cooperation relationship.

Consensus also prevails concerning the objectives of strengthening development cooperation structures and learning primarily from German development cooperation about the technicalities of project management and coordination. Additionally, there is an expectation associated with the implementation of TrC, which actors in all three roles consider significant, that it will raise their own visibility in the field of development policy – both in terms of expertise on technical topics, and politically and strategically as cooperation partners

When engaging in TrC, the implementation of measures and the achievement of the project objectives are pursued by all actors in equal measure. For beneficiaries, access to context-specific knowledge and the strengthening of their own capacities and structures is crucial to push forward their own development. For Southern providers in all regions, the focus is on reducing regional disparities and implementing the 2030 Agenda. To this end, they want to make use of TrC to replicate their own experiences. German development

cooperation wants to pass on lessons learned from its bilateral experience, working jointly with a Southern provider.

All the actors consider financial resources to be an important factor. Providers from the South and beneficiaries see funding as a significant contribution of German development cooperation in TrC and often cite this as a reason for entering into TrC rather than SSC. German development cooperation, on the other hand, wishes to leverage financial resources and to let Southern providers in particular carry a share of the responsibility for development, acknowledging that they are important global players. In occasional cases, a conflict of objectives arises in which there is less of a focus on development impacts for the beneficiary than on cooperation between German development cooperation and the Southern provider.

The greatest discrepancy between the actors' objectives concerns the aspect of learning and exchange of experience on impact mechanisms and principles of cooperation. For German development cooperation, the discourse about OECD-DAC standards and the principles of the Paris Declaration is paramount, and its explicit wish – expressed as a goal in the strategy – is to arrive at a common understanding. Neither Southern providers nor beneficiaries in any region state this to be their explicit motivation. That being the case, the goal of a common understanding on these issues can scarcely be achieved. Southern providers and beneficiaries have a stronger tendency to view the mutual exchange of learning and experience in terms of project management and programmatic-thematic topics.

## 4.2 Roles and role understandings

### Box 3 Main findings – Roles and role understandings

All actors fulfil their roles in accordance with the given definitions. Often the roles go beyond their presumed remits and overlap with one another:

- Many Southern providers and, increasingly, beneficiaries from the LAC region see themselves as dual actors.
- German development cooperation is appreciated not only as a donor but also as a broker for Southern providers and beneficiaries engaging in TrC.

TrC strengthens the efforts of Southern providers to assume a stronger role in international cooperation.

The visibility of some actors in all three roles on the national, regional and international level is heightened by TrC.

There follows a description of what the presumed roles and contributions of German development cooperation, Southern providers and beneficiaries (cf. subchapter 1.2) actually look like in practice (cf. Abbildung 1 and Abbildung 17).

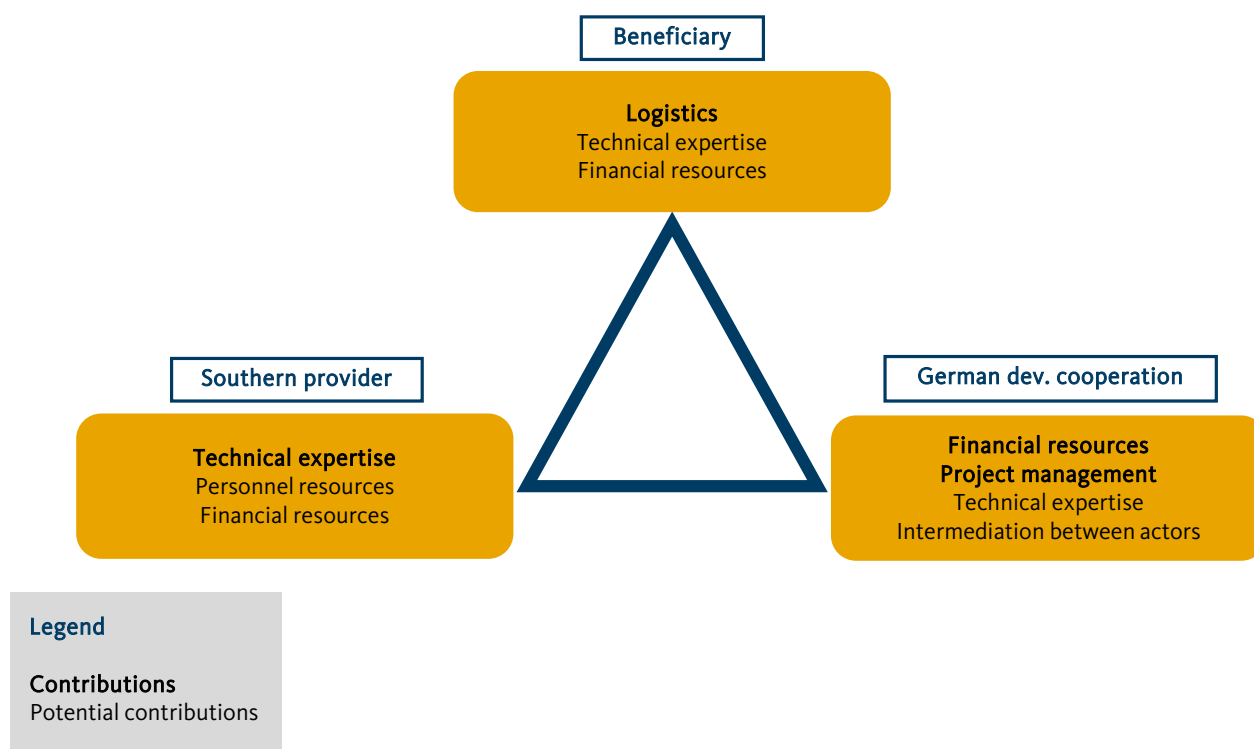
**German development cooperation** fulfils the role of donor by providing financial resources and taking charge of project management. As a rule, it also supports projects with technical expertise. Furthermore, on the basis of its worldwide network and its fundamentally positive reputation among the partners, German development cooperation – via GIZ, first and foremost – usually performs a brokering role by setting up contacts between Southern-provider and beneficiary-country institutions. Examples of this are the TrC with Peru and Paraguay on establishing citizen registration systems or the TrC with Indonesia and Timor-Leste. German development cooperation supports Southern providers in establishing cooperation relationships across regions, e.g. supporting both Brazil and Costa Rica to do so in Africa, and thereby promotes and facilitates other intercontinental cooperations, such as the TrC with Costa Rica and Morocco and with Tunisia. German development cooperation often also brokers between the actors during the implementation of a TrC in the event of role conflicts and disparities of interests, for example, or if the Southern provider's approach is unduly dominant from the beneficiary's perspective. In acting as this kind of broker, German development cooperation makes a very essential contribution to the effective functioning of a TrC measure. This is appreciated by partners, as the interviews and portfolio analysis reveal. For example, in the TrC on fire management with South Africa and Tanzania, GIZ has actively contributed

to the clarification and acceptance of roles, and to realistic expectations on the part of the actors. These are substantial reasons for the strength of demand for German development cooperation, e.g. from Indonesia. As part of its commitment to the SDGs, the Indonesian government would also like to implement TrC in Africa, and sees German development cooperation as an honest broker for that endeavour. Beneficiaries and Southern providers generally see German development cooperation as a strategic partner, and – in addition to considerations of resourcing – implement TrC with German development cooperation partly for that reason. This became evident mainly from the interviews.

The role of some **Southern providers** often seems ambivalent. On the one hand, by providing inputs of financial and personnel resources in the context of TrC, they are making contributions to the 2030 Agenda, honouring their international obligations and taking on a greater commitment to development policy and hence greater responsibility. An example of this is Mexico, which has gained visibility by engaging in the GPI-TriCo as a co-founder. Southern providers' regional leadership roles are also becoming clear on the regional and international stage, through the BRICS association of countries for instance. To some extent, this leads to competition – at least regionally – among the Southern providers to demonstrate their competencies in development cooperation and to establish themselves as Southern providers as regards the relationship with the beneficiary and within international cooperation. At the same time, many Southern providers often fall short of their ascribed function and show similarities with beneficiaries; for example, when the development cooperation actors South Africa and Costa Rica see the donor's financial resources as the foremost aspect of the TrC. It must be noted, however, that this funding often contributes significantly to engagement in development cooperation, and in some cases makes it possible at all. Most Southern providers draw on their own experience to provide technical expertise, and benefit in turn from the expertise of German development cooperation, especially on project management and development cooperation methods. This presents German development cooperation with the challenge of correctly assessing the Southern provider's interests, against the background of the given provider's self-assessment and the context of regional competition. There are some examples which confirm that Southern providers such as Mexico, Chile, Argentina and Uruguay do indeed formally assume the beneficiary role in TrC, as seen in the TrC measures with Argentina (as Southern provider) and Mexico to promote energy efficiency, or with Brazil (as Southern provider) and Argentina, Chile, Uruguay and others to combat HIV/AIDS. From the perspective of joint learning, some Southern providers therefore designate themselves as 'dual actors'. However, they only partially fulfil the role of an intercultural broker between German development cooperation and the beneficiary.

Overall, the roles actually performed and contributions made by **beneficiaries** correspond to the ascribed roles. Nevertheless, many beneficiaries in the LAC region go beyond their presumed remits. Most Latin American beneficiaries, such as Paraguay, Peru, Ecuador, Colombia and Guatemala, also transfer financial resources and knowledge to the TrC measures in the interests of joint implementation and learning. This valorisation of their capacities serves to strengthen the self-confidence of beneficiaries, on the one hand, and their international reputation, on the other. For example, as a beneficiary, Peru became an associate member of the International Bureau of Weights and Measures (BIPM) after the introduction of international standards as part of the TrC measure with the PTB and Chile. This was a significant step for Peru. Likewise, in the course of the TrC measure with Chile to improve quality of life in poor districts of Asunción, Paraguay was able to familiarise the Southern provider with its social housing system, from which Chile transferred elements into its own system. Paraguay is now presenting these results on the regional level. On the basis of this active participation, many beneficiaries in LAC have ambitions to operate as Southern providers in the near future. This is supported by the fact that, just like many Southern providers, some beneficiaries are creating proposal catalogues in which they offer their technical expertise to other countries. These beneficiaries are more frequently assuming a dual role *de facto*, in Latin America in particular, favoured by largely positive economic developments. Peru especially quite deliberately no longer refers to itself as a beneficiary but as a dual actor (cf. subchapter 3.5).



**Figure 17 Actual roles and contributions in a trilateral cooperation**

Source: own figure.

A key challenge for beneficiaries and many Southern providers is to improve the visibility of their own, mostly in-kind, contributions within a TrC measure. They are then in a position to describe and be held accountable, on the level of the measure, for their own commitment in terms of the assumption of responsibility for development policy and for the objectives achieved. Besides the gain in visibility and prestige, cooperation with a reputed donor or Southern provider in a TrC confers higher legitimacy on the measure and its costs in the beneficiary country, in the interests of domestic accountability. It demonstrates to the population and the authorities responsible for monitoring public expenditure that several actors are dedicating their efforts to the topic as well as the modality of TrC, and that TrC is of international significance and worthy of support.

### 4.3 Use of the modality of trilateral cooperation

#### Box 4 Main findings – Use of the modality of trilateral cooperation

Among the partners of German development cooperation, this modality receives a relatively high degree of political attention, not least in relation to SDG 17. In Germany, TrC often operates below the radar of political decision-makers and sometimes of the persons responsible for implementation, also.

Among political decision-makers everywhere, there is still widespread unawareness of the possibilities and limitations of the modality, and a variety of different interpretations of the definition of TrC and the precise form it should take.

In the absence of TrC-specific structures, TrC is dependent on the bilateral development cooperation system (resources, personnel, procedures).

The initiation and use of the modality are discussed below with reference to the degree of awareness of TrC, the participating actors' understanding of it and the available information about TrC. An account is subsequently given of the structural integration of the modality into international cooperation, and specifically the German development cooperation system.



### 4.3.1 Level of recognition of trilateral cooperation among the actors involved

in the wake of the 2030 Agenda (especially SDG 17), TrC as a modality is enjoying increasing political attention in the so-called Global South, but also among a growing number of traditional donors. In the meantime, El Salvador and Mexico have restructured their development cooperation departments and geared them more closely towards TrC in order to simplify the legal procedures for entering into trilateral cooperation. In addition, Brazil has worked with German development cooperation and with other donors to define standards for TrC (cf. subchapter 5.2.2). Testimony to the growing level of recognition in the Global South are some TrC measures initiated on the political level, e.g. at meetings between ministers or ambassadors. In these instances, TrC is used to address a certain topic, as seen for example in the cooperation with Uruguay and Paraguay on sustainable energy or the TrC measures with South Africa and Burundi, along others, and with Costa Rica and Morocco.

In Germany, TrC often operates below the radar of political decision-makers and even of some BMZ and IO coordinators, despite the strong engagement of most staff responsible for TrC. The interviews confirm this. Some German development cooperation actors who are engaging with the issues of TrC on the ground are not familiar with the BMZ strategy paper on TrC. The main reason for this is the priority given to the bilateral portfolio, which has a disproportionately greater budget and generates a distinctly more significant outflow of funding. In some cases, stakeholders vary in their understanding of TrC and of whether TrC falls within their remit. Unawareness of the modality's advantages, and especially of the potential for German development cooperation to learn from TrC, is another cause of the low level of recognition of the modality within the German development cooperation system.

It is evident both from the surveys and the literature that the different actors in the three roles vary in how they understand the modality of TrC. They not only have differing interests and expectations (especially foreign policy, economic and development policy interests), which must be coordinated in a complex process of negotiation within every TrC measure, but also differing views on the definition and terminology of the modality. This is borne out by the debate about the terms 'trilateral' and 'triangular' (cf. subchapter 1.1).

### 4.3.2 Information base on trilateral cooperation

To some extent, the large number of objectives and expectations (subchapter 4.1) is based on significant gaps in most political decision-makers' knowledge concerning their possibilities and limitations of the modality of TrC. Many actors have shortfalls in knowledge management in one form or another, especially in the systematisation, monitoring and evaluation of the modality. On an international basis, in recent years the OECD, in particular, has been endeavouring to systematise and record TrCs in a repository (OECD, n.d.a). German development cooperation is cooperating extensively in this effort, and thereby improving its own information base on TrC. In the course of implementation, the LAC Fund in particular is undertaking major steps towards a comprehensive system for documenting TrC measures and processing the results, and is setting quality standards in the process. Thus, 5 % of the budget from the LAC Fund for a TrC measure is reserved for ex post evaluations (Document 1, p.2). In the past, these as well as SFF-financed TrC measures often made no provision for M&E. They contained neither a clear intervention logic nor indicators that could be coherently monitored and evaluated (Document 6, p.17ff). The LAC Fund has increasingly systematised the latter aspect, also bearing in mind that in LAC, the SFF-financed measures are integrated into the Fund. Similarly, the SSTC/NGG (South-South and Triangular Cooperation and Networks for Global Governance) programme is actively pursuing the establishment of a systematic M&E system for TrC measures with Indonesia. The LAC Funds and the SSTC/NGG programme plan to incorporate indicators from the OECD-DAC Toolkit into the monitoring system for TrC measures.<sup>14</sup> However, indicators for and review of the political-strategic effects of TrC constitute a major challenge.

<sup>14</sup> At the end of 2018, the LAC Fund integrated parts of the OECD-DAC Toolkit into the conceptual design of TrC measures.

A systematic and joint M&E system for a development cooperation measure requires inputs from all the actors. These have different capacities and are subject to different requirements, which must be taken into account. Often, German development cooperation partners do not have consistent criteria and procedures of their own for approving development cooperation measures, and lack quality standards (such as impact orientation) and other fundamental basics (such as relevant statistical surveys) (Document 5, p. 6). Limited capacities have consequences for the quality and scope of the TrC measure's M&E system. For a TrC, the actors in the three roles must negotiate their underlying quality standards, planning, allocation of responsibilities, objectives and interests at the beginning of any given measure. This raises the coordination overhead, whilst time, budgetary and personnel resources remain constrained, which delays or adds to the difficulty of adequate, impact-oriented and systematic M&E. Many actors – with the exceptions of Mexico and Brazil – often make no provision for programmatic-thematic and institutional knowledge management in the measures. In the event of personnel fluctuation, this can have serious consequences, up to and including cancellation of the TrC measure. This happened to the TrC measure with Chile and El Salvador on consumer protection and the TrC measure with Mexico and Bolivia on water recycling for agriculture (COTRIMEX II). The evidence-based information on TrC is still relatively sparse across all regions.

In German development cooperation, the number of TrC evaluations has risen in the last five years – of single measures or several at once, and of the LAC Fund as a financing instrument. Many of the reports are more descriptive than analytical and refer by default to the achievement of the OECD-DAC evaluation criteria and not, or not explicitly, to the achievement of the strategic goals set out by the BMZ (Documents 3, 14). In many reports, statements referencing DAC criteria are not backed up empirically. The portfolio analysis revealed that some reports of different measures even contain identical passages and statements, for example on efficiency. It therefore has to be noted that the many of the evaluation reports analysed are of limited informativeness and quality.

With regard to the M&E of the modality, despite the first steps already mentioned, one outstanding challenge is to establish a systematic and, especially, transnational and transregional knowledge management system in German development cooperation. This would enable global evidence-based assessment of the implementation of the modality of TrC. As a prerequisite for systematising the worldwide TrC portfolio of German development cooperation and distilling lessons learned on the use of the modality, TrC measures need to be recorded systematically. On the one hand, there is no policy marker, and on the other hand – even within German development cooperation – there are variations in understanding of the definition of TrC. Consequently, there is uncertainty as to which measures should be reported as TrCs. This explains the discrepancy whereby the OECD repository was sometimes notified of different TrC measures involving German development cooperation than are listed in the BMZ portfolio (OECD, n.d.a). The challenges and limitations encountered while assembling the portfolio for this evaluation have already been dealt with in subchapter 2.3. The low level of knowledge among all actors about TrC on the political-strategic dimension is at least partly a result of inadequate resources, especially personnel resources (subchapter 5.3).

#### 4.3.3 Structural integration of the modality of trilateral cooperation into international cooperation

TrCs are initiated for diverse reasons,

- as a means of scaling up good practices,
- as a concluding or accompanying measure to a bilateral intervention,
- as a one-off or pilot measure,
- as a peace-building or training measure, and
- to foster cooperation relationships or strengthen the capacities of the Southern provider.

They always draw on existing bilateral structures in terms of resources, local personnel and administrative procedures. No dedicated procedures or local structures have been developed for TrC.

##### • Trilateral cooperation within bilateral procedures

As in bilateral development cooperation, proposals are submitted by the beneficiary to the donor/German development cooperation, which then decides whether a commitment is possible. In accordance with this logic, government negotiations and verbal notes are conducted, exchanged and signed bilaterally. The

conclusion of multi-actor contracts often proves considerably more difficult and complex, both legally and administratively.

- **Bilateral personnel for trilateral cooperation**

Usually the actors do not employ dedicated personnel for TrC measures. Personnel who have been hired for bilateral measures usually take on the coordination and implementation of the small-volume TrC measures as an additional task.

- **Bilateral budgeting of trilateral cooperation**

The eligibility of TrC measures to be counted as OECD Official Development Assistance (ODA) is a necessary criterion for German development cooperation. Therefore – in keeping with that bilateral logic – the allocation of financial resources, even for TrC, must always be for the benefit of (at least) one "developing country". In budgetary terms, the development of the LAC Fund has created an alternative approach to financing TrC measures that is unique so far in the German development cooperation system. It differs from the approach otherwise adopted, of mobilising funding from bilateral interventions, programmes or bilateral funds like the Study and Expert Fund.

In addition, some actors from Guatemala and Bolivia, and particularly Southern providers such as Thailand, South Africa or Brazil, are faced with procedural challenges when implementing TrC. For example, their financial administrations are usually set up solely to receive bilateral funding, but not to accept trilateral funding or to pay monetary contributions of their own. Cooperation or sectoral ministries cannot grant direct financing to third parties, for example, but must process it – as in the case of South Africa – through the Ministry of Finance, or – as in the case of Brazil – spend their financial contributions exclusively on outputs delivered by Brazilian actors (expertise, travel, materials). For that reason it is often only possible to make in-kind contributions. All in all, this adds considerably to the bureaucratic load when implementing TrC (cf. subchapter 5.3).

## 5. FINDINGS – IMPACTS OF TRILATERAL COOPERATION

Following on from the conceptual findings for the modality of TrC, this chapter presents the findings along the political-strategic (subchapter 5.1) and programmatic-thematic (subchapter 5.3) dimensions. The two impact dimensions reciprocally influence one another and are closely interlinked. In the course of the analysis it became apparent that many of the results cannot be clearly assigned to one of the two dimensions, or that some TrC-specific aspects – such as learning and principles of cooperation – have impacts on both dimensions. Subchapter 5.2 sets out the findings on outputs and outcomes that contribute to both dimensions, and on the aspects specific to TrC. Building on these findings, subchapter 5.4 explains the region-specific differences. Finally, the DAC criteria and South-South cooperation principles are assessed in terms of how far they are incorporated in TrC (subchapter 5.5).

## 5.1 Cooperation relationships

### Box 5 Main findings – Cooperation relationships

Development-related cooperations and political-strategic partnerships are at the forefront of TrC, not only for donors and Southern providers but also for many up-and-coming beneficiaries, and are fostered in various ways.

TrC promotes cooperations of various kinds, principally SSC and networks, depending on the topic and the context. TrC extends the cooperation relationships and forms of cooperation available to all actors and contributes to regional integration. From this it is plausible to infer that TrC contributes – to a certain extent – to international development partnerships such as the GPI-TriCo.

On the political-strategic dimension, donors and Southern providers in particular cite establishing and consolidating cooperations and cooperation relationships as a priority objective of their engagement (cf. subchapter 3.6). Many beneficiaries, especially the up-and-coming countries of the LAC region, similarly consider that the strength of TrC resides in the cooperation relationships. Accordingly, many TrCs are initiated by the actors in order to foster cooperation relationships. Which of the three-way cooperation relationships – between donor and Southern provider, donor and beneficiary, and Southern provider and beneficiary – are intensified, extended or newly established is often substantially influenced by the motives for initiating the measures.

### 5.1.1 Intensification of cooperation relationships

Some TrC actors show stability in the selection of their partners (subchapter 3.6). They work together to implement a number of sometimes varied TrC measures over many years, and thereby strengthen their cooperation relationship in a lasting way. Notable examples of this are Mexico's cooperation relationships with Guatemala and Bolivia, and Chile's relationships with El Salvador, Peru and Bolivia. German development cooperation acts within these TrC constellations as a donor and a constant, reliable partner, which likewise strengthens its own cooperation relationships with these actors on a lasting basis. This is confirmed by the frequency of cooperation relationships and of interview responses to that effect.

In many cases, the actors' cooperation is consolidated by extending a TrC measure or by carrying out a TrC follow-up measure in the existing constellation of actors. Although the rationale for such a continuation is usually programmatic-thematic in nature – e.g. the goal of the measure has not yet been achieved, financial resources are still available, or the TrC was a successful pilot measure – it simultaneously strengthens the cooperation relationships of all the actors. It benefits from lessons learned from the first TrC, intensifies cooperation or strengthens aspects like knowledge networks. Examples of this include the TrC follow-up measures on youth employment with Chile and the Dominican Republic, and the TrC with Indonesia and Myanmar on vocational training.

Some TrC measures, by virtue of their subject matter, already directly promote partnerships between German development cooperation and Southern providers. The example of the TrC measure with Brazil and Peru to promote the Centre for Environmental Technology (CTA) shows that the Peruvian government has been able to establish partnerships with German industry as well as its own. The exchange of expertise between the actors, the building and strengthening of networks (e.g. twinning partnerships between towns

in Mexico and Bolivia as an output of the TrC measure on wastewater management), platforms such as ANTAD.biz (involving Mexico, Honduras and Nicaragua), and the Pacific Alliance (on sustainability standards in industry) are directly supported by TrC measures (Document 6, p.22). The ensuing exchange of technical learning and experience intensifies the cooperation relationships, particularly between the Southern provider and the beneficiary.

### 5.1.2 South-South cooperation and regional development

The BMZ cites the promotion of SSC, principally in the form of a regional cooperation relationship, as one of its stated objectives. To this end, it envisages strengthening the role of the Southern provider as a hub in the given region. The interviews show that TrCs make a contribution to this. Furthermore, when German development cooperation engages in TrCs, it is focused on the relationship with the Southern provider. This approach is mutual, because the relationship with the donor is as much of a priority for the Southern providers. TrC is often used by donors and Southern providers as a measure to maintain and reinforce cooperation between a DAC donor and a Southern provider that has already graduated or is about to graduate,<sup>15</sup> such as Chile, Costa Rica or Brazil. German development cooperation has already greatly reduced its bilateral development cooperation with Mexico. After the Mexican agency for international cooperation for development (AMEXCID) was founded in 2011, development cooperation funds and the cooperation relationship were significantly scaled up again by means of TrC. Mexico actively promotes TrC in the GPI-TriCo as an innovative form of international cooperation. German development cooperation provides very substantial support to Mexico on the topic of TrC. In doing so, it not only intensifies the cooperation relationship,<sup>16</sup> but also to a certain extent contributes to international development partnerships such as the GPI-TriCo.

In order to intensify the cooperation relationship between German development cooperation and a Southern provider, topics from previous bilateral development cooperation or from a TrC with the Southern provider are usually taken up and replicated in a TrC measure in another beneficiary country. This happened when the topic of establishing citizen registration systems was addressed by GIZ in cooperation with Peru and Paraguay, and subsequently replicated with Honduras, and when the PTB tackled the strengthening of metrology systems with Brazil and Mozambique (FORTINNOQ) and the same topic with actors in the Andean region. Both this PTB topic and that of natural gas metrology were designed to be replicable from the very start, since one of the aims of the topics addressed is regional or international standardisation.

The TrC for the promotion of small and medium-sized enterprises (SMEs) carried out by GIZ with Thailand and Vietnam is likewise based on the replication of bilateral development cooperation topics. Subsequently it gave rise to a formal South-South cooperation with a memorandum of understanding (MoU) between the Southern provider and the beneficiary. SSC or networks are often forthcoming from TrCs: the TrC measure with the Pacific Alliance gave rise to SSC between Peru and Colombia; a further cooperation between South Africa and Tanzania ensued from the TrC measure on fire management; and a network of university teachers followed on from the TrC with Indonesia and Myanmar.

Regional trilateral cooperation and platforms contribute to an objective pursued by the actors in all three roles, namely regional development. This is understood within the framework of TrC primarily in the sense of regional integration. Most Southern providers cite altruism and the neighbourhood principle as their motivation for TrC with regional beneficiaries. It is seen as a means of reducing regional, economic and developmental asymmetries. Reducing disparities in development between member states is also an objective of ASEAN, the association of countries which – with the support of GIZ – brought into being the TrC measure with Thailand and Laos to support the Lao State Audit Organisation. By engaging in measures like these, the Southern provider simultaneously increases its (foreign and economic policy) influence on the beneficiary country or in the region. For example, Mexico accomplished this by launching the ANTAD

<sup>15</sup> Graduation is determined on the basis of per capita GDP, including anticipated graduations (Eurostat, n.d.).

<sup>16</sup> Mexico cooperated in 25 TrCs with German development cooperation during the period covered by the evaluation; only Chile has a higher number of TrCs with Germany.

platform, which enterprises from Guatemalan and Honduran industry are now joining as a result of the TrC. That paved the way for a regional economic network, which Mexico manages by means of the platform. Definite leadership ambitions on the part of the Southern provider are seldom expressed openly, and can only be attested in a few instances (Thailand, Costa Rica, Mexico, South Africa). The interviews confirm, however, that many beneficiaries – such as Guatemala, El Salvador, Honduras, Bolivia and Tanzania – certainly perceive such leadership ambitions on the part of the Southern providers in TrC. This was identified as problematic in the BMZ strategy paper (BMZ, 2013: 11). For that reason, a certain reticence within the cooperation relationship is occasionally observed, although it is rare for concrete tensions to surface during the TrC measures themselves. Regional or international conferences on TrC are normally initiated and organised by donors or by Southern providers such as Brazil. Sometimes these take place without any beneficiaries in attendance, probably due to disparities in the resources actors have at their disposal. Comments from Laos, Vietnam, Tanzania and Guatemala confirm that this accentuates some beneficiaries' sense of not always being adequately involved in decision-making processes under this modality, and in a few instances, even of being patronised by the Southern provider in the course of the measures. More vigorous involvement of all actors in the conception and detailed design of TrC thus constitutes one of the key inherent challenges of TrC, particularly with regard to regional development.

### 5.1.3 New cooperation relationships

When they replicate a theme from bilateral development cooperation or from another TrC, German development cooperation and the Southern provider not only strengthen their own cooperation relationship but also enter into new cooperations with other beneficiaries. Both happen frequently – be it based on demand from the (new) beneficiary or an offer made by the Southern provider or German development cooperation – so that experience can be passed on. Since German development cooperation can draw on knowledge of both aspects, i.e. needs and offers, it is often a German IO working locally that initiates replication measures of this kind.

In some cases, TrC also contributes to extending the cooperation relationships and indeed the donor landscape of beneficiaries (and Southern providers). Some topics from other donors' TrC measures are carried forward or extended with the beneficiary, such as the TrC measure already mentioned to establish international standards in the Lao State Audit Organisation, facilitated by support from Thailand. After the end of its term, the measure is to be taken forward by the European Union (EU) with continuing financial support from German development cooperation. The TrC measure with Costa Rica and Morocco on the management of natural resources was co-financed by the UN. Another example that can be cited here is the TrC measure with Chile and Paraguay to improve the quality of life in poor districts of Asunción, to which Spain has linked a further TrC measure aimed at the integration of young people. In some cases, where German development cooperation withdraws or appears hesitant due to shifts in development-policy priorities, graduation of the country, or termination of the measure, Southern providers such as Indonesia actively seek other donors in order to keep up their engagement in TrC. This shows that when a donor withdraws, the range of cooperation partners and forms of cooperation may broaden, both for the Southern provider – which often remains a participant in the TrC – and for the beneficiary.

Apart from concrete TrC measures, there is hardly a single instance of donor harmonisation – one of the principles of the Paris Declaration on Aid Effectiveness (High Level Forum, 2005) – taking place in the beneficiary countries as part of TrC. For the most part, concrete exchange between traditional donors about TrC measures is low-level, irregular and informal, as in Indonesia for example. This has to do with donors competing amongst themselves, and in some cases also the low level of attention given to TrC by DAC donors on the ground, which equates to very low funding flows. Southern providers are not part of the donor roundtables in the beneficiary countries; hence, any harmonisation between donor and Southern provider beyond the bounds of the individual TrC measure is rare in the extreme. Similarly, in SSC, Southern providers do not normally coordinate among themselves.

The exchange of learning and experience in various forms, such as the HCD courses and regular conferences of the LAC Fund, also provides opportunities to forge new relationships and exchange views about the modality of TrC. Moreover, German development cooperation actively promotes other (international)



meetings on TrC, such as the OECD's International Meeting on Triangular Co-operation (OECD, n.d.b), a regular conference held in Lisbon. The ToC has already outlined how these meetings promote cooperation relationships, which in turn give rise to further TrC activities. For example, the TrC with Peru and Guatemala on the topic of rural education was initiated at such a conference.

## 5.2 Learning and principles of cooperation

### Box 6 Main findings – Learning and principles of cooperation

The relationship between German development cooperation and Southern providers is an important component of TrC. This relationship is promoted *inter alia* by working together to strengthen the development cooperation agencies or structures of Southern providers. TrCs make a contribution to strengthening development cooperation structures, even if as a general rule this contribution is a side-effect, since this strengthening is not addressed systematically within TrC. In the course of implementing TrC measures, Southern providers and to a lesser extent also beneficiaries acquire expertise in the project management of development cooperation measures through learning by doing, resulting in strengthened capacities.

Likewise, actors from Southern provider countries are supposed to be strengthened in the area of principles and standards of development cooperation. Differing principles exist, however, and the understanding of cooperation can also vary. As part of many of the TrC measures involving German development cooperation, an informal dialogue is conducted with the partners on impact mechanisms and principles of cooperation. In this way, initial steps are taken in the direction of a common understanding – between German development cooperation and, predominantly, the Southern providers.

Mutual and joint learning as well as horizontality are reflections of the partnership level in TrC. The occurrence of joint learning in all three roles is evident in the learning about the modality. On programmatic-thematic level, the mutual learning that takes place is mainly between the Southern provider and the beneficiary. Horizontality is dependent on particular individuals and the extent to which it is present (or not) in individual measures varies widely.

The findings on TrC-specific aspects that have impacts on both dimensions are presented below. The first to be dealt with is the strengthening of development cooperation structures, of which learning is an important component (subchapter 5.2.1). Next, the findings on dialogue, impact mechanisms and principles of cooperation are discussed (subchapter 5.2.2). Finally, the principles of mutual learning (5.2.3) and horizontality (5.2.4) are examined.

### 5.2.1 Strengthening development cooperation structures through trilateral cooperation

An important motivation for cooperating on a trilateral basis, both for German development cooperation and for the majority of Southern providers interviewed, is to strengthen the Southern providers as actors in South-South cooperation, in effect strengthening their development cooperation structures. The relevant impacts of TrC on the Southern providers will therefore be considered in the section below. The following section briefly covers bilateral interventions aimed at strengthening development cooperation structures, which are being implemented by German development cooperation in some Southern provider countries in parallel with TrC. The discussion then turns to the strengthening of the beneficiaries' development cooperation structures.

#### Development cooperation structures of Southern providers

Although the strengthening of the Southern providers' structures is the focus when implementing TrC, this is not explicitly articulated as a goal in the BMZ strategy, and is neither systematically addressed nor monitored as part of TrC measures. Nevertheless, it is presented in the strategy as an important component. BMZ-funded TrC measures nevertheless contribute to strengthening the development cooperation structures and agencies of the Southern providers. Thus, the goals of both roles are partially achieved. This contribution is expressed in the generation of experience and applied expertise in development cooperation



practice. The learning-by-doing approach while jointly coordinating and implementing TrC measures leads to learning in the area of project management (including coordination, results-based management combined with planning, and impact-oriented monitoring). Essentially, this gain in learning on the part of Southern provider actors is manifested first of all on the individual level. It was confirmed by the Southern provider actors and German development cooperation actors interviewed that individuals are improving their capacities to draw up impact-oriented proposals for measures and to plan and coordinate activities, for example.

The Southern providers want to learn from German development cooperation in the area of planning, steering and coordination of development cooperation measures. Within the framework of TrC they are interested in the expertise of German development cooperation on technical topics as well as its project management and methods expertise. At the same time, they mention their financial resources as a limiting factor when it comes to implementing development cooperation autonomously, and see this as the greatest element of support from German development cooperation in TrCs. They perceive themselves as providers of development cooperation topics, donors, brokers or learners who need to gain practical development cooperation experience. Some of them have a problem with calling themselves donors, however. Apart from a political motivation, in occasional cases there is also a fear that German development cooperation will cease to provide development funding once the country designates itself as a donor.<sup>17</sup>

On the institutional level, during the coordination of TrC some Southern providers come to realise that coordinating units for SSC and TrC are necessary in order to enable them to keep track of all development cooperation measures and activities and to plan and implement measures systematically. In this regard, there is evidence of a learning gain among some Southern providers, namely that internal processes and structures have improved somewhat, thanks to the experience accumulated in TrC. A positive example to mention is Costa Rica, which is capturing its learning experiences in the form of project reports, and intends to make use of them in future for internal restructuring and the drafting of a strategy. The Mexican development agency AMEXCID refers to its own knowledge management in relation to TrC as a challenge that is now to be worked on. AMEXCID has requested further support from German development cooperation to systematise its own TrC experiences with a view to creating a qualitative planning, monitoring and evaluation system. To this end, the German-Mexican TrC portfolio is currently being evaluated. Furthermore, on the institutional level, AMEXCID has already dedicated a subdivision of the department for international cooperation to TrC.

Indonesia founded its own development cooperation agency in October 2019. In the course of implementing development cooperation in the form of SSC and TrC, it was recognised that to ensure consistency in the national system of development cooperation/international cooperation, an inter-ministerial coordination body is necessary (Hosono, 2016). As a preparatory step, a National Coordination Team (NCT) was therefore established, consisting of the planning, foreign affairs and finance ministries and the Ministry of State Secretary (equivalent to the German Chancellery). The NCT is responsible for coordination, procedures and standards in Indonesian development cooperation. Among its tasks is to coordinate TrC measures carried out with German development cooperation. The new agency is to take charge of this in the future. Its main objective is to reinforce diplomatic efforts so that by forming partnerships with developing countries, it can support them in overcoming problems and conflicts as well as reducing poverty and inequality (Kementerian Luar Negeri, 2019; The Japan Times, 2019).

These learning effects are only side-effects of TrC measures, however; they occur in practice, but the support and strengthening of development cooperation structures is not systematically anchored in the individual TrC measures. Neither targets and indicators nor specific, regular HCD activities are incorporated into the design of TrC measures in order to track or explicitly promote learning of this kind. An exception is the second field of action of the LAC Fund, within which HCD courses are offered. As a rule, then, these impacts

<sup>17</sup> The designation as a “donor” is extensively discussed in the literature and in practice. While some countries in the Southern provider or beneficiary role perceive the term donor as having neo-colonial connotation, other countries associate it with paternalistic Northern donor practices to which they are opposed (cf. Bracho, 2015; Eyben and Savage, 2013; McEwan and Mawdsley, 2012; Quadir, 2012).

are accidental products. This entails the risk that if conditions change, the objective of strengthening the development cooperation structures of Southern providers may no longer be achieved.

On the impact level, it can plausibly be inferred from the findings that the Southern providers are increasingly performing their role in development cooperation through their own development cooperation structures. They see the 2030 Agenda as a framework for their development-policy activities and are intent on reducing inequalities at both global and regional levels. Towards that end, they are increasingly taking on responsibility, actively contributing to TrC, learning about project management in the course of implementing TrC, and – thanks to strengthened development cooperation structures – are willing and able to assume a stronger role in development-related cooperations on the international level.

### **Trilateral cooperations complement bilateral interventions aimed at strengthening development cooperation structures**

Development cooperation agencies and structures exist in many of the Southern provider countries in the sample. Alongside the implicit promotion of these development cooperation structures via the learning-by-doing approach of TrC, Germany specifically promotes some of the Southern providers' development cooperation structures through bilateral programmes. As well as trained personnel, the administration of development cooperation measures requires legal foundations, budget lines, and monitoring and evaluation systems (Mawdsley 2012). In the context of bilateral projects, an organisational consultancy exists in Indonesia, Mexico and Thailand. One bilateral intervention in Brazil is setting a stronger focus on process consulting and the design of TrC. Often the articulated objective is to strengthen the development cooperation agency, and thus the country as a development partner. Activities being undertaken include structural organisational consulting as well as capacity development in the areas of planning, implementation and M&E. Indicators for the given aspects have been integrated into the project documentation. In addition, the bilateral programmes often contain fields of action for the implementation of joint TrCs. Through the combination of organisational consulting and applying what has been learned in TrC, the Southern providers acquire practical experience and theoretical knowledge on the implementation of development cooperation measures.

In South Africa, efforts to establish a development cooperation agency in South Africa have not been further pursued for the last few years. Until 2015, a bilateral German development cooperation programme was in place, the aim of which was to improve South African capacities on impact-oriented and sustainable SSC. This was not a relevant motivation for the South African partners, who did not greet the programme with the same level of interest as German development cooperation. The intervention was also intended to strengthen the South African Development Partnership Agency (SADPA), the development cooperation agency that was in the process of being founded. As part of the programme, strategic guidelines were drawn up and TrC was incorporated as an independent pillar in the overall structure of South African development cooperation. SADPA was formally founded by decree (Grobelaar, 2014), but to date, the setting-up process has not been actively promoted by the South African government. This is because the country's political interests have shifted towards a stronger prioritisation of domestic policy (Sidiropoulos, 2019). As an additional factor, the agency's original inception process is described as strongly donor-driven, not only by South African interviewees but also by German development cooperation and other DAC donors themselves. Many DAC donors vested high expectations in SADPA during the preparatory phase and were keen to help shape the founding process. South Africa's political ownership of the TrC measures with German development cooperation was low. This also came to the surface as a lack of will to make financial resources available for individual TrC measures. Self-interested motives for strengthening a development cooperation structure along with ownership on the part of the partners involved are thus prerequisites for achieving the goal of strengthening development cooperation structures.

In occasional Southern provider countries in the sample, coordinating units for development cooperation do not exist. Without such a unit, the responsibility for development cooperation is often distributed across different sectoral ministries, which are not necessarily endowed with any specific expertise in development cooperation. This leads to a fragmentation of responsibility and, in some circumstances, to competence

disputes.<sup>18</sup> In Costa Rica, several ministries (the finance, planning and foreign affairs ministries) collectively bear responsibility for the coordination of development cooperation. Consideration is being given to founding a development cooperation agency. Here, as in South Africa, the responsibility is fragmented and a lack of clarity prevails among the ministries in relation to the particular roles. This leads to complex internal consultations and coordination of the participating Southern-provider institutions. For German actors and other external partners, the resulting processes can be incomprehensible and non-transparent. In some cases the German side raises this for discussion with the partners.

The founding of development cooperation agencies can give rise to new challenges for the implementation of development cooperation measures. Development cooperation agencies do not always contribute to simplifying internal coordination in the countries; indeed they sometimes lead to more time-consuming processes and more bureaucracy in the given national systems. In some cases, the institution responsible for development cooperation is regarded as a bureaucratic constraint by national technical IOs of the Southern providers, beneficiaries and even the GIZ, and is left out of the loop for reasons of efficiency. The relevant development cooperation agencies of the Southern providers interviewed take a critical view of this practice because it deviates from the formal procedures. Equally, some beneficiaries note that their own system is very bureaucratic and that measures are affected by the resultant delays. Moreover, there are some indications that inter-ministerial coordination is difficult and in need of some improvements, and that the processes are not always transparent for the other actors involved.

### Development cooperation structures of the beneficiaries

Beneficiaries also learn project management in the course of TrC, albeit to a lesser extent than the Southern providers. On the implementation level, only a small number of beneficiary-country IOs report a learning gain concerning the coordination of projects in an international setting, and characterise the experience as enriching. Moreover, for some beneficiaries, the objectives of measures are geared towards strengthening their institutions. For example, this is true of the measure between Germany, Costa Rica and Bolivia aimed at strengthening the environment ministry with regard to electronic waste, or the measure between Germany, Thailand and Vietnam to strengthen agricultural cooperatives and small enterprises in Central Vietnam. In contrast, the beneficiaries interviewed from sub-Saharan Africa are primarily interested in the actual objectives of the measures and in technical expertise, and less so in accruing learning about TrC as a modality or about the coordination of development cooperation.

It emerges particularly clearly in LAC that the continuing education and training module of the superordinate LAC Fund also gives beneficiaries the opportunity to learn about the planning, monitoring and coordination of measures and about the modality of TrC. Building capacities for the coordination of development cooperation measures along with information resources about the modality of TrC are the elements they rate as helpful. Online training courses are also considered useful – especially by staff of the beneficiaries' partner institutions, who are unable to attend the face-to-face courses. In this way, learning experiences are gathered not only by staff of the development policy institutions but also by participants in the measure based in sectoral ministries or in technical IOs of the Southern-provider and beneficiary countries. Thus, a wide diffusion of learning experiences is achieved.

On the level of political steering, beneficiaries – albeit few in number – learn from the experience of coordinating TrC, and face up to the demands entailed by TrC and SSC. TrCs necessitate a high coordination overhead, which poses sizeable challenges for all actors and their institutions. Sometimes, in specific response to this, internal coordination, i.e. cooperation between institutions within the beneficiary country, is intensified and learning experiences occur. Some beneficiaries also set up coordinating units for TrC and SSC, for the same reason. El Salvador restructured its foreign ministry at an early stage to accommodate SSC and TrC. In 2009 it created a sub-department for South-South cooperation, which was positioned as a

<sup>18</sup> On this aspect see Mawdsley (2012), who points out that attention must be paid to coordination and power relations between the responsible institutions in order to manage development cooperation successfully. Otherwise the set-up may lead to competence disputes and constraints on the effectiveness of the partner structures.

department in its own right in 2013, when TrC was added to its remit. This department has a dedicated fund for TrC at its disposal, and has compiled a catalogue of offers that draw on its own experience and expertise. Work is currently in progress towards a national policy for international cooperation, which will specify the allocation of responsibilities between the planning and foreign ministries. The knowledge gained through practising TrC and about the modality is being institutionalised in El Salvador. In addition to a national development plan, which was valid for five years (2014 to 2019) and included TrC as a strategic option for cooperation, all staff working in international cooperation are given regular training. In Paraguay there is an inter-institutional coordinating unit for SSC. Consideration is being given to founding a unit for TrC or a dedicated development cooperation agency. The government of Paraguay sees potential here and aspires to the role of a Southern provider in the future.

Coordination with external partners takes place mainly via the steering and working groups established within the framework of TrC. The analysis of documents confirms that within these structures, the responsible institutions of all participating countries, either from the same or different tiers of government, regularly exchange views on the topic and coordinate the TrC jointly. GIZ is appreciated by partners for acting as a “neutral” broker within the TrC. For the most part, it takes positive action towards improved coordination and communication between the participating internal structures in a partner country. Many beneficiaries, too, identify their own knowledge management in relation to TrC as an ongoing challenge. Guatemala sees further support and expertise as a possible solution, and has drawn up a proposal with GIZ for a new TrC measure aimed at improving its internal knowledge management and M&E systems.

### 5.2.2 Dialogue on impact mechanisms and principles of cooperation

Another motivation for German development cooperation to promote TrC is that of arriving at a common understanding of the impact mechanisms and principles of cooperation.<sup>19</sup> Some Southern providers wish to pursue and apply SSC principles within the framework of TrC. The findings show that an explicit exchange of learning and experience between the actors on impact mechanisms and principles of cooperation, in accordance with the ToC (cf. subchapter 4.1.3), is not systematically established. Barely any explicit negotiation and agreement takes place about principles of cooperation within the framework of TrC; nevertheless, in many TrC measures an informal dialogue is conducted on impact mechanisms and principles. This marks a first step towards achieving the objective pursued by German development cooperation. Dialogue is stimulated during implementation via a learning-by-doing approach (1), the communication and formal stipulation of certain principles (2), adherence to the administrative standards of German development cooperation (3), and the selection of topics with a view to realising these principles (4). These four aspects are explained in more detail below. As a preliminary, however, the background to SSC principles will be explained, in order to show why arriving at a common understanding of impact mechanisms and principles of cooperation is not a high-priority motivation for Southern providers and beneficiaries.

### Principles of South-South cooperation in trilateral cooperation

For some Southern providers, including Brazil, Indonesia and South Africa, the “South-South cooperation principles” (UN, 1978; UN General Assembly, 2009) are part of their understanding of cooperation in the development field. Accordingly, they also pursue these in TrC with German development cooperation. Some Southern providers see traditional North-South cooperation as a form of cooperation involving conditions imposed by the “North”. This is reflected in the frequency with which some major South-South cooperation providers reject the principles of the Paris Declaration on Aid Effectiveness (High Level Forum, 2005) as principles constructed by the OECD-DAC for the North (Sidiropoulos, 2019). Hence, the Paris principles tend to be regarded as “the North’s” principles. However, it is a declaration that many countries have signed –

<sup>19</sup> The principles are not explained in further detail in the BMZ strategy on TrC. The evaluation understands this as a reference to the following principles, to which German development cooperation is committed (BMZ, n.d.a, n.d.b): In addition to transparency, participation and the do-no-harm principle, they encompass the principles from the Paris Declaration on Aid Effectiveness: ownership, alignment, harmonisation, results-orientation of measures, and mutual accountability (BMZ, n.d.a, n.d.b).

including all the Southern providers interviewed for this evaluation. By engaging in their own development cooperation, notably SSC, and in TrC, these countries are intent on promoting their own values and locally originated principles, and dismantling the typical donor-beneficiary relationship (interviews and AGCID, 2014; Lengfelder, 2016; Haider, 2018). Although the South-South principles are not fundamentally in conflict with the principles adopted by OECD-DAC member countries, including German development cooperation, slight discrepancies do arise. For example, there are differences regarding the aspects of conditionality and non-conditionality of development funding and non-interference in domestic affairs. For example, the majority of South-South cooperation providers do not comment on the political situation or human rights in the respective partner countries, whereas DAC donors make use of development cooperation to voice and work on these issues (UNOSSC, 2019). The BMZ actively calls for and promotes good governance in its development cooperation – for example, in the Marshall Plan with Africa in conjunction with reform partnerships (BMZ, 2017b; BMZ, 2018a) – or anchors the issue of human rights in the political dialogue with its partner countries (BMZ, 2011).

At the same time, commonalities are noted in the endeavour to secure a greater local contribution from partners and to ensure that cooperation is mutually beneficial (UNOSSC, 2019). Expressions of this are the principles of ownership and horizontality. Back in 1978, South-South cooperation providers and beneficiaries anchored ownership in the goals of the Buenos Aires Plan of Action for Promoting and Implementing Technical Co-operation among Developing Countries, and the Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008) also take up this principle (Tortora, 2011). In its 2015 Latin America policy, the BMZ refers to the countries of this region as strategic partners on an equal footing, which coincides with the SSC principle of horizontality. German development cooperation is working on highlighting the commonalities between the principles in the course of TrC, emphasising common aspects in dialogue, and applying SSC principles as well. Within the framework of the GPI-TriCo, a similar discussion was conducted about principles and guidelines for the joint implementation of TrC. This discussion culminated in an agreement containing 15 voluntary guidelines for the effective implementation of joint TrC measures (GPI, 2019).

DAC donors, including Germany, are concerned that too little transparency and M&E exists within SSC, and that impact is hardly ever achieved (Abdenur and Fonseca, 2013). For this reason they wish to contribute their expertise through TrC to support these aspects. However, DAC standards such as M&E systems or reporting of outputs are not being explicitly adopted. In principle, only Thailand follows the OECD-DAC definition of ODA and voluntarily reports its own ODA outputs to the DAC – without belonging to it (Piefer und Vega, 2014; Gulrajani und Swiss, 2017; OECD, 2019). Thailand is thus orientating its development cooperation, within both SSC and TrC, towards the DAC (Kondoh et al., 2010) and rendering accountability for ODA payments. On the beneficiary side, there are indications that rather than referring to SSC principles alone, principles from the Paris Declaration are also in use. The beneficiary country Laos, for example, drew up what is known as the Vientiane Declaration on Partnership (Government of Laos, 2015). This declaration takes up principles from, inter alia, the Busan Declaration (Fourth High Level Forum on Aid Effectiveness, 2011) and the Accra Agenda for Action (OECD, 2008), and adapts them to its own context. It applies to both bilateral and trilateral development cooperation with the respective partners, where it is used as a framework.

There is concrete evidence of other views of development cooperation and of the integration of South-South cooperation principles in Indonesia's case. Indonesia sees the assessment of results (for example, whether the participants in a training measure succeeded in learning) in another country as critical and outside its mandate. This is regarded as interference in the domestic affairs of the other country. Moreover, for the Southeast Asian Southern providers interviewed, values such as consensus and dignity are important within a cooperation. For that reason, processes such as reaching internal decisions may take longer. These values are also anchored in Thailand's Sufficiency Economy Philosophy. Along with prudence and patience, it describes consensus with moderation in the form of compromise-seeking (Thailand International Cooperation Agency, 2018). These principles and values have implications for the type of cooperation and must be taken into account by German development cooperation in TrCs involving Thailand.

Although some partners have different views on principles of cooperation, it is possible for German development cooperation to engage in a dialogue about this, by reason of the following approaches.

### Learning-by-doing approach

During the joint planning and implementation of TrC measures, the actors interviewed from the German IOs enter into an informal dialogue on impact mechanisms with the partners involved. The Southern providers are the focus of attention, since their development cooperation structures are the ones to be further developed and strengthened. The approach pursued during the implementation of TrC measures – particularly with Southern providers in LAC and Southeast Asia – is an implicit learning-by-doing approach. The first steps towards a common understanding are thus achieved by directly applying the principles in practice. This directs the focus particularly towards the impact orientation of development measures. Examples of this appear in the interviews with Southern providers in Southeast Asia. In Indonesia there were numerous meetings with GIZ to draw up the project design, complete with indicators. Thai actors also describe the elaboration of indicators as an important exercise, in which they learn from German development cooperation. However, they point out that are linked to cultural peculiarities in the Asian region, the measurement of results is difficult. Participants in training courses are extremely polite and always tick positive responses on questionnaires designed to evaluate the courses, for example. In other words, the cultural context is also an influence on the impact mechanisms of cooperation.

German development cooperation is at variance with some Southern providers in its understanding of a systemic, impact-oriented development approach as opposed to an input- or activity-oriented approach, comprised mainly of training courses without institutional embedding of what has been learned. Again, this is addressed in the dialogue about different development cooperation systems that is conducted during the planning and implementation of TrC, with Thailand for example.

There are indications that debates on certain principles are expressly initiated in individual cases. A discussion took place with Brazil about the principle of sustainability, for instance. A formal agreement with Brazil exists in the form of a MoU on principles of cooperation in jointly implemented TrC, which was the outcome of a concrete communication and discussion. In this case, the common understanding was formally documented. The MoU focuses on ownership by the beneficiary, joint action on every step of the measure, and results orientation. It also refers to the foundation of a shared vision of development, which encompasses social progress and inclusiveness, environmental sustainability, peace, stability, and international agreements on the effectiveness of development cooperation. In addition, there is a manual providing transparent information on the formal procedure and detailed design of joint TrC measures (ABC, 2019). From this it is evident that a long-standing development cooperation relationship provides a basis not only for a shared vision of development but also for identifying and applying common principles. TrC thus offers a platform for dialogue about applied principles underlying the impact mechanisms and the cooperation itself, and about joint implementation. However, Brazil is the sole example for which these points are documented in an explicit formal communication and agreement. Thus, the objective of German development cooperation is assessed as only partially achieved.

### Formal stipulation of standards and principles

Another effective tool is the formal stipulation of standards and principles in TrC measures. It is clear from project documents that this is practised by German development cooperation, through the LAC Fund, for example, with regard to impact orientation and gender in the project proposals: a gender analysis, the inclusion of human rights aspects, and information about monitoring are stipulated as standard requirements. The project proposal is agreed upon or developed with all three partners beforehand. Joint discussion and elaboration of measures and how they will be put into practice brings about a certain shift in thinking – albeit only for a small number of partners – with regard to the results of the measures, indicators and monitoring and evaluation (M&E). Some German actors attest that this is a difficult and lengthy learning process for the partners, since their capacities in these areas are often weak. Interviewees in Costa Rica, Mexico and Guatemala confirm that the consultancy provided by GIZ prior to the submission of proposals is appreciated by the partners. In parallel, the LAC Fund has been offering continuing education



and training opportunities on impact-oriented M&E in the form of HCD courses since 2016, as a result of which further progress is being achieved. Thus, the intended effect of the formal stipulation is that partners will come to grips with selected principles. This can be seen as a first step towards a common understanding.

### Administrative standards

Also subsumed under principles of cooperation are administrative standards, which influence transparency and mutual accountability. When operating on the ground in the partner countries, the German IOs adhere to their own administrative standards and rules and apply them on behalf of all parties involved in the measure. Nevertheless, incomprehension of these rules prevails among some Southern providers and beneficiaries, since they often cannot see the point of them. For example, GLZ's financing mechanisms and the ensuing administrative rules, and its apportionment of responsibility between administration and technical monitoring are considered complicated, often incomprehensible, and at times non-transparent. As a result of TrC, however, rules and standards other than their own are made visible to the partners of the Southern providers and beneficiaries. Partners in Vietnam or Mexico confirm that this is a new and instructive experience for some partners on the implementation level.

An additional fact to be borne in mind is that each actor is bound by its own bureaucracy and its own procedures, rules and standards. This often leads to project delays in the course of coordination, since involving all the bureaucratic authorities makes it more time-consuming to reach a consensus within the project. While most actors are well aware of this, in some cases it leads to frustration because the respective rules and procedures are hardly transparent, making it impossible for an understanding of the circumstances to develop. In the course of discussions, the partner institutions interviewed are familiarised with new perspectives on administrative standards. Hence, transparency and a discourse about different procedures and standards are important components of the dialogue.

### Subject of the measures

In a few cases, the subject matter and/or objective of the TrC measures are explicitly geared towards the standards and principles underlying the impact mechanisms and the cooperation. These measures provide an opportunity and a reason for German development cooperation to enter into explicit dialogue on certain topics both with beneficiaries and with Southern providers. One example of this is the TrC between Germany, South Africa and Burundi, Kenya, Ghana, Uganda, Senegal and Benin, aimed at the exchange of learning experiences within the African countries on M&E systems. As part of the measure, systematic work was done on the standard for an M&E system, and an exchange of views about it took place.

#### 5.2.3 Mutual and joint learning

Mutual learning (learning from one another) and joint learning (learning together) are important components of TrC. The evaluation also considers learning through the lens of the SSC principle of mutual benefit. In the following, the learning experiences on the separate dimensions are examined in more detail, first for beneficiaries and Southern providers and then for German development cooperation.

Across all roles, learning and knowledge transfer are deemed to be important aspects of TrC. Nevertheless, the degree of learning varies for the respective roles and on the two dimensions of the modality. Learning on the programmatic-thematic dimension is manifested on the level of concrete measures, while learning on the political-strategic dimension is reflected on the partnership level.

On the level of concrete measures, beneficiaries mainly acquire knowledge on the relevant thematic issues. In this constellation, they are learning both from the Southern provider and from German development cooperation. However, many beneficiaries believe that the Southern providers are better equipped to understand their own local challenges: Southern providers have a similar development background, can replicate their own experiences in a TrC, and often have a similar cultural context to the beneficiary's. This can be attested for LAC in particular. In that region, all respondents unanimously view peer learning as an important aspect of TrC and an expression of horizontality, and achieve it accordingly.

In LAC, many Southern providers confirm that they acquire concrete thematic learning from beneficiaries and recognise that thematic knowledge and experience exists in the same region. As a result, Southern providers also accumulate learning experiences on the level of measures. Both of these roles consider mutual learning to be central to a measure, and to TrC as a form of cooperation. One example is the measure between Germany, Chile and Peru on InfObras with the courts of audit: InfObras is an informative, participatory reporting system which monitors and provides information about public construction sites for accountability purposes. Peruvian actors passed on their knowledge and experience about the introduction of the computer-based information platform and the concept behind the system, while Chilean actors contributed their knowledge on methods of geo-referencing. In this way, mutual learning took place, with the result that both countries are now introducing and using the system. Furthermore, representatives of the dual actor Peru also believed that solutions already available often need only be adapted to a new context, to enable existing information to be accessed. Likewise, in the TrC measure between Germany, Costa Rica and Bolivia on electronic waste, Costa Rican interviewees say that they were unaware of Bolivia's experience in micro-recycling. Within the framework of this measure, Costa Rica learned from the Bolivian actors. In the other two regions – Southeast Asia and sub-Saharan Africa – there are only occasional reports from beneficiaries concerning Southern providers' learning experiences.

On the partnership level, learning on the part of beneficiaries and Southern providers is expressed in becoming familiar with the partners' respective systems and realities, as well as in a different kind of cooperation. Based on mutual and shared learning in the process of cooperating, coordinating and seeking solutions, they describe TrC as being more horizontal in orientation than bilateral development cooperation with a traditional donor is. Learning a different kind of cooperation goes hand in hand with learning about the modality of TrC as well as learning about project management. Many interviewees from Southern provider and beneficiary countries reported that they had benefited or learned from GIZ's competence in project management (cf. subchapter 5.2.2).

The learning experiences of German development cooperation as the third actor in TrC are manifested mainly on the partnership level and less on the measures level. A great many respondents from the German IOs confirm that they are personally attaining a new awareness of a different style of joint work with partners and gaining new knowledge about TrC as a modality. Furthermore, individual consultancy competences for this form of cooperation are being developed. On the measures level, in relation to project management and specialist technical aspects, however, the German side often indicated that only Southern providers and beneficiaries learn in a TrC, whereas they themselves do not. Accordingly, learning experiences of German development cooperation on this level are only weakly in evidence. There is a tension between the mutual and joint learning that Germany considers important, and the objective of German development cooperation that Southern providers learn from German development cooperation about development cooperation procedures, principles and practices. This amounts to one-sided learning. No provision is made in the logic of German development cooperation for any systematic learning from its partners for its own benefit, on either of the two dimensions in TrC. Since this kind of learning is not documented, there is no clarity about what German development cooperation is already learning in the course of TrC. However, within a few new TrC measures, some reflection has already begun on areas in which German development cooperation is in fact learning or could potentially do so. For this reason, TrC measures in both LAC and Indonesia are applying indicators from the OECD-DAC Toolkit on monitoring and evaluation of TrC, or envisage doing so, in order to record what German development cooperation is learning from the cooperation in line with the 2030 Agenda. It is apparent that learning as an effect is not considered from the outset in many TrCs, is not systematically recorded in terms of indicators, and is only pursued implicitly. Overall, mutual and joint learning between Southern providers and beneficiaries is more pronounced than mutual learning between German development cooperation and its partners in the other two roles.



#### 5.2.4 Horizontality

Horizontality is highly regarded as a SSC principle of cooperation and a possible result of joint cooperation in TrC. The evaluation framed the following definition for the analysis of horizontality: three or more actors with equal standing in a TrC share responsibility for the joint planning, implementation and evaluation of a development policy measure. This means that all three participants have the same rights and obligations within the cooperation. Horizontality thus expresses the nature of the cooperation and gives indications of how people work with one another within a cooperation relationship. The following section describes how horizontality is understood by the three roles in a TrC. Next, six aspects are assessed which promote or detract from horizontality.

All actors in the three roles consider joint decision-making to be an important aspect of horizontality. The Southern providers interviewed see TrC as a form of cooperation in which three partners of equal standing work together and reach joint decisions in all areas. The beneficiaries interviewed very often equate horizontality with needs orientation and a say in decisions – in other words, participation. In TrC funded by German development cooperation, this is largely achieved, as some beneficiaries – particularly in LAC – confirm. Many German actors regard horizontality as definitive for TrC, and understand it to mean consensus-based decision making and joint learning. German actors in particular view horizontality as an important factor for the implementation of successful TrC, whereas the other partners do not ascribe the same high significance to this factor (cf. subchapter 5.3.2). From the portfolio analysis it is also clear that project reports and evaluations of German development cooperation usually neglect this aspect, and such reporting rarely makes explicit reference to horizontality.

Both Southern providers and beneficiaries perceive TrC with German development cooperation as being more horizontal than bilateral cooperation is. However, horizontality is not always found in all areas and phases of a TrC in the German portfolio. The findings from the interviews and the portfolio analysis show that German development cooperation and Southern providers are perceived by beneficiaries, and by one another, as sometimes more and sometimes less horizontal, depending on the measure. In some cases, individuals attached to a Southern provider adopt a dominant and hence vertical mindset – based on having a certain amount of previous development experience. In the course of measures, occasional beneficiaries perceive Southern providers as having leadership ambitions. This is indicative of limited horizontality. In other cases, Southern providers in turn are very mindful of consensus and act horizontally. Horizontality is thus dependent on particular individuals, and the extent to which it is present (or not) in measures varies widely.

Actors from Peru and Chile, for example, confirm that when implementing a concrete TrC measure, technical cooperation with actors in different roles on the same or similar hierarchical level is a factor that promotes horizontality. However, cooperation between similar hierarchical levels is not achieved in all TrC measures, with the result that here, too, the degree of horizontality varies across the measures.

A close correlation is found between horizontality, alignment and demand orientation. The latter two aspects may be indicative of horizontality, since the beneficiary can operate as an actor of equal standing. Requests for TrC measures from the relevant beneficiaries are very often received by the responsible institutions from Germany and/or the Southern provider, so that formally they meet the criterion of demand orientation. Furthermore, performing needs analyses and thus identifying local challenges with the active participation of beneficiaries and Southern providers are an integral element of TrC and reflect demand orientation and alignment as well as horizontality. The original idea of cooperating, however, very frequently turns out to have been instigated by Germany, or sometimes by the Southern provider.

The responses given about needs analyses vary from one measure to another. In some cases needs analyses are performed, and in others, they are not. Alignment of TrC measures with the needs of beneficiaries happens very frequently, according to the responses of interviewees in that role, and is assessed positively. According to the project documents, the vast majority of TrC measures are aligned with national development plans, sector programmes or strategies, or otherwise regional strategies. The Regional Fund in Latin America and the Caribbean, for example, is geared towards the Ibero-American Program for the Strengthening of South-South Cooperation (PIFSS). On the programmatic-thematic dimension – mainly in Latin America and the Caribbean – participatory approaches are pursued with all partners as a means of

ensuring alignment as well as ownership on the part of beneficiaries. According to the project documents, planning missions or participatory planning workshops are carried out regularly in Latin America and the Caribbean. Occasional responses on this aspect also refer to the significance of the *Comisiones Mixtas* – committees on the political level, in which several beneficiary-country authorities exchange information with embassy delegates from other countries of the South, and in some cases also with traditional DAC donors. These fundamentally enable beneficiaries, too, to express their needs.

Another indication of horizontality is observed in the selection of measures. In LAC in particular, a constraint on horizontality is found. Because the BMZ has the final say on the funding commitment, i.e. the power of veto and selection, the power to decide whether a TrC measure will be implemented is shifted to the German side alone. It is not decided jointly, but rather, by the BMZ on the basis of a project proposal. This does not apply to each partner's decision about the provision of financial resources. In individual cases, Southern providers in the LAC and Southeast Asia regions report that, in the event of a negative decision, they request support for the measure in question from other DAC donors. In South Africa, the selection of projects was decided jointly by German and South African actors within the steering committee. In that context, horizontality existed between German development cooperation and the South African actors, while the beneficiaries were not involved.

In TrC, German development cooperation, Southern providers and the beneficiary make different contributions to the success of the measure. The contributions are administered separately and each actor is responsible for its own contribution (in kind or in cash). This approach expresses horizontality and promotes it. In isolated cases, the financial contributions are pooled and administered by the German side. The interviews confirm that both Southern providers and beneficiaries are critical of the transparency of GIZ's use of funds from the joint committed budget in particular instances, and also about the German contribution. Southern-provider and beneficiary actors stated that they do not receive information about the itemised total costs of joint activities, for example.

This indicates a lack of mutual accountability. Transparency is therefore limited in this area and complete horizontality is not possible. Furthermore, many beneficiaries also contend that the actor making the largest financial contribution has greater decision-making power. This amounts to an attribution of power that limits horizontality. This is confirmed by many Southern providers and beneficiaries in the interviews, to the effect that: "The one who pays the music" (Interview 13).

Horizontality is also limited by another factor connected to transparency: little attention is paid to differences in bureaucratic procedures, and there is not always mutual understanding of different procedures and processes. Despite joint planning and financing, each of the three actors' systems has its own bureaucratic challenges, which the other partners are not always aware of or cannot understand or see the point of. The speed of administrative processes can vary, which should be taken into account particularly when planning joint TrC measures.

In addition, it emerges from the interviews that through joint and mutual learning, the roles at different times during a TrC may be those of both givers and learners. This attests to its dual and horizontal character and demonstrates equitable cooperation on an equal footing. Mutual learning is not always achieved, particularly by German development cooperation (subchapter 5.2.3). In LAC especially, mutual learning in the course of a measure is increasingly being used as an option by Southern providers and beneficiaries, whereas the actors in the other two regions make less use of this dual aspect.

Overall, it is shown that in relation to horizontality, both favourable and inhibiting factors exist. Horizontality is not found at all times and in all areas and phases of a TrC in the German portfolio.

### 5.3 Development impacts of trilateral cooperation measures

#### Box 7 Main findings – Development impacts of trilateral cooperation measures

Numerous TrC measures have established steering mechanisms in which all partners are represented. Nevertheless, it is common for GIZ to handle the bulk of the project management. This strong role played by German development cooperation is a success factor for the complex measures, but also entails risks with regard to transparency and, especially, horizontality between the partners.

TrC measures produce a large number of “small” and rapidly achievable outputs, including in the areas of capacity development and the creation of technical documents. The objectives of the measures are largely being achieved. However, it was impossible to reconstruct with plausibility whether and how the identified outputs of the measures contribute to medium- and long-term development effects (outcome and impact level). Long-term effects that go beyond the direct development results are noted most obviously in joint learning and in the building and consolidation of cooperations. Mutual learning takes place both on the specialist technical level and in the area of project management. However, it appears that German development cooperation engages in learning within TrC to a limited extent only.

Along the same lines as the effects, the sustainability of TrC measures is found to be mostly unsatisfactory. TrCs are often implemented as small-scale measures and are not tied in with the bilateral programmes in the beneficiary country. This lack of tie-in and the resultant ad hoc approach to planning contribute to the omission to plan for sustainable use of the results after the end of the term. However, this kind of follow-up would be the basis for ensuring that all those involved have clarity about who will carry forward the activities and the impacts after the TrC ends, in what form, and what resources are available for this purpose.

Possible reasons for the non-achievement of impacts and for limited sustainability are, on the one hand, insufficient resources in terms of personnel, time and, to a certain extent, financial resources. On the other hand, the additional workload generated by coordination and communication among a large number of partners, who are often still inexperienced, poses a further major challenge.

The fact that coordination is frequently complex means that transaction costs are relatively high, especially at the beginning of a TrC measure. This negatively affects the efficiency of the measures. However, the higher transaction costs must be seen against the background of TrC-specific benefits such as learning and cooperation, which ideally arise in addition to the direct results of the measure. Accordingly, a certain increase in overhead is quite justified and is a logical element of the measures to achieve the TrC-specific benefits.

The actors in the various roles have identified numerous factors that they consider important for the successful implementation of TrC. There is enormous variation in these factors between the different roles and between the global regions considered.

Subchapter 5.3.1 presents the findings on impacts, sustainability and efficiency on the programmatic-thematic dimension. It also addresses the challenges that arise during the implementation of TrC, leading in some cases to non-achievement of the desired results. Building on this, subchapter 5.3.2 gives an overview of the factors mentioned in the interviews which, from the perspectives of the different roles, are considered important for the successful implementation of TrC.

#### 5.3.1 Effectiveness, sustainability and efficiency of trilateral cooperation

The impacts that TrC measures are intended to achieve on the programmatic-thematic dimension come about via the outputs that are achieved as direct results of TrC activities. According to the ToC, the joint and coordinated implementation of activities, making complementary use of the inputs of all partners, is intended to have a positive influence on the efficiency and effectiveness of TrC measures (cf. subchapter 4.1.1). Another aim is to generate applied TrC implementation expertise among the partners. On the outcome level, the outputs contribute not only to achieving the objectives of the measures but also to strengthening the development cooperation structures in the partner countries. Moreover, it is envisaged

that successful TrC measures (good practices) will be replicated in other TrCs. Via these outcomes, the measures are intended to deliver contributions to the overarching development objectives in the beneficiary country and to the SDGs.

The actors contribute various resources and expertise to the partnership for the purpose of implementing TrC measures. Although the contributions are not strictly defined and a certain flexibility in roles and contributions was reported by some respondents, clear trends can be noted across all measures:

- The responsibilities of the **German IOs** primarily comprise project coordination and consultancy to the partner institutions.
- As part of the project coordination, GIZ often also assumes responsibility for the budget.
- The consultancy focuses on technical aspects, on the one hand, but also on project management.
- Financially, the German contribution is concentrated on meeting the costs of planning workshops, employing short-term experts, and paying travel expenses.
- **Southern providers** are primarily responsible for technical consultancy and the brokering of knowledge. In LAC especially, they also perform coordination tasks or even assume overall responsibility in some instances.
- Financial contributions are made principally via the secondment and release of staff and the payment of travel expenses.
- The contribution of **beneficiaries** consists mainly in providing staff and logistical support. In LAC in particular, the beneficiaries also make financial contributions themselves (cf. subchapter 4.2).

Numerous TrC measures have established steering mechanisms, in which all partners are represented. The frequency with which these steering groups or committees meet varies enormously. In addition to this operational steering mechanism, political steering in LAC also made use of the *Comisiones Mixtas*, in which the beneficiary institutions work with donors and Southern providers to define strategic lines of cooperation, and conduct the political dialogue with the cooperation partners.

Despite these steering mechanisms, it is common for GIZ to handle the bulk of the project management. Many partners, especially from Southern provider countries, rate this commitment very positively and learn much from GIZ. Individual actors complain that the strong role played by GIZ gives rise to a lack of transparency and horizontality. For example, one ministry in LAC felt bypassed by GIZ, in relation to both thematic planning and budget planning. Another aspect remarked upon was too strong a focus on applying “overly stringent” processes on the administrative side. On the whole, however, German expertise and the fact that it is passed on in the context of TrC measures are important factors for the success of such measures – provided that it is not passed on dominantly and with a vertical mindset, which might be perceived as “being told what to do”.

## Effectiveness

TrC activities fall mainly within the areas of capacity development, the creation of technical documentation and the development of sectoral concepts, plans and strategies. Furthermore, TrCs can take charge of organising forums and conferences or supporting study trips. Especially in the case of PTB measures, the portfolio is complemented by providing technical services and instruments, such as portable charger kits.

TrC measures produce a large number of “smaller” and rapidly achievable outputs in the fields of activity mentioned. A frequent aim of TrCs is the joint implementation of training sessions or courses – e.g. for civil servants in the beneficiary country. In a TrC with Mexico and Bolivia, training courses were provided for participants from all three countries (i.e. Germany as well), for which performing project evaluations was the training objective. Examples of manuals or guidelines produced as part of TrC measures include a fire manual in Tanzania, a manual for police oversight investigators in Kenya and Tanzania, and a manual on the citizen registration procedure in Paraguay. Plans and strategies were developed, e.g. for local waste management in Bolivia and to promote a standard for good agricultural practices (GAP) in Laos. Occasionally, funding was provided for the construction of physical infrastructure, e.g. in the form of a sewage treatment plant in Bolivia. Finally, digital applications like an Internet-based communication platform for companies in Mexico, Honduras and Guatemala were supported.

The analysis of the outputs delivered across all the TrC measures considered makes it clear that the objectives of the measures are mostly achieved. The information obtained about this aspect from the project documents and from the few evaluations available is unequivocally positive in this respect. Stronger variation was observed in the statements made by interviewees across all roles, regions and IOs: they mostly confirm that the targeted outputs were achieved; however, it was mentioned in various interviews that not much could be achieved with the available resources. Southern providers especially made occasional critical comments to the effect that it was not always possible to achieve all of the intended objectives of the measures. The following statement comes from a Southern-provider representative in Brazil: "The lifespans of TrCs are too short, they tend to achieve short-term outcomes rather than long-term effects". The beneficiaries, who benefit from the outputs on the measures level, voiced barely any negative comments. In the international literature, hardly any robust and evidence-based statements are found concerning the results and effectiveness of TrC (GPI, 2019).

Beyond the direct outputs of a measure, other important benefits of TrC measures are the exchange of experience between all partners, and mutual and joint learning. The central significance of these was emphasised by the interviewees across all roles. The literature also confirms learning as an important benefit and a major strength of TrC (GPI, 2019, Document 8). Beyond the direct outputs of a measure, other important benefits of TrC measures are the exchange of experience between all partners, and mutual and joint learning. The central significance of these was emphasised by the interviewees across all roles. The literature also confirms learning as an important benefit and a major strength of TrC (GPI, 2019, document 8). Accordingly, the "exchange of learning and experience between the actors" in the ToC is an important output of TrC on the programmatic-thematic dimension in practice, too.

Mutual learning takes place both on the specialist technical level and in the area of project management. Many interviewees from Southern provider and beneficiary countries cited as one of the key advantages that they had benefited or learned from GIZ's competences in project management and administration. With reference to PTB, mention was made of its especially strong technical expertise. As explicitly noted in the BMZ strategy paper, within a TrC even the traditional donor should accumulate learning experiences. Some actors from German development cooperation mentioned, however, that German development cooperation appears to engage in little or no learning during TrC measures. The most likely form of learning on the part of German development cooperation is familiarisation with new forms of cooperation and the interests of other countries. This was cited as a learning experience by respondents from all roles. The German side makes particular mention of cooperation with Southern providers and familiarisation with their interests and systems as a relevant aspect. Some individuals from the German side who are involved in TrC certainly experience incidental learning. To sum up, however, it was found that the German development cooperation system as a whole is not designed to record these experiences, process them systematically and make them available to development cooperation actors.

Across all the data sources, it was impossible to reconstruct with plausibility whether and how the identified outputs of the measures contribute to medium- and long-term development effects (outcome and impact level). The principal factors contributing to this are the low volumes of TrC measures, resulting in small-scale outputs, and the shortcomings in sustainability (see the section on sustainability). The project documents tend towards a positive assessment of how the measures contribute to the outcome and impact level, whereas a more negative picture emerged from the interviews. In keeping with the diversity of the TrC measures studied, the project documents show that the programmatic-thematic results on the output and outcome level are very diverse. However, clusters can be identified, into which the effects of TrC preponderantly fall:

- TrC measures yield contributions to the development of sector policies – which include strategies, plans and regulations. Examples are the anti-corruption strategy and a code of conduct for public employees in the Democratic Republic of Congo, or master plans for the upgrading of public space (Colombia).
- Replication of outputs on the national level (e.g. a warning system in Mozambique, education networks in Guatemala) or the international level (a training manual for investigators from the police oversight authorities in Nigeria, Ghana and Uganda).

- Better visibility of the beneficiary institutions and contributions to political agenda setting; for instance, by creating an integrated network of landfill sites in Honduras, the topic of waste disposal has been given greater political significance.
- Establishment of new institutions, e.g. in Tanzania (a fire management task force).
- Establishment of knowledge networks, for example between institutions of metrology and standardisation in Mozambique, or between Mexico and Bolivia in the field of wastewater treatment. As the result of another TrC, a memorandum of understanding came about between the Center of Materials and Failure Analysis, Institute of Materials Science (COMFA) in Vietnam and the Thailand Institute of Scientific and Technological Research, as a basis for future cooperation.

From the clusters it becomes clear that TrC measures can also contribute to outcomes on the political-strategic dimension.

However, there are also negative examples in the project documents which make the measure's lack of contribution explicit: in the TrC with Mexico and Colombia on monitoring and reporting standards for land-use change and the impacts of climate change on biodiversity, the "objectives achieved have a very limited impact in relation to the overall goal of instituting monitoring standards" (translation from Spanish), because despite successful establishment of the operational system and training of officials, a large number of other objectives were not achieved and the measure was not carried through to its conclusion.

In the interviews, German interviewees in particular noted that the measures primarily led to small-scale results, whereas barely any reference was made to direct long-term impacts of these results. Likewise, the development of beneficiary-country institutions that was identified in the portfolio analysis was almost impossible to substantiate in the interviews with all actors. Network building as well as other forms of cooperation, however – irrespective of the development impacts of the measures – represent a long-term impact of TrC that was emphasised repeatedly by respondents in all roles.

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## Sustainability

Along the same lines as the results, the sustainability of TrC measures is found to be mostly unsatisfactory. Sustainability here refers to the persistence of the impacts in the sense intended by the OECD-DAC evaluation criterion. Here, too, clear differences come to light between the project documents and the interviews. In the documents, positive assessments predominate, e.g. concerning the use of manuals for criminal investigations under the TriCo Fund in South Africa, landfill sites in Honduras or the treatment of hazardous waste in Colombia. However, negative examples are also found in which TrCs did not have the desired persistent effect. For example, references are made to the potential for sustainability arising from prior work on institutional strengthening (TrC with Chile and Guatemala) or from putting lessons learned into practice at ministry level (TrC with Chile and the Dominican Republic). However, evaluations attested that neither measure included any planning of a follow-up process.<sup>20</sup> Likewise, in the TrC with Mexico and Bolivia, there was "no clarity as to how the activities are to be continued, despite the signing of agreements

<sup>20</sup> "The TrC did not include a sustainability strategy in its logical framework. (...) Institutional strengthening by authorities and DIACO staff (...) represents an additional potential sustainability factor". (Translation from Spanish, Document 9, p. 20).

"Even if this created a potential for sustainability of concepts and methods used in the courses, it was not possible to establish continuous (...) provision of courses because neither the [Dominican] Ministry of Labour nor the National Technical-Vocational Training Institute (INFOTEP) integrated any continuation of it into their training programmes." (Translation from Spanish, Document 10, p. 6).



and good intentions. [...] The initial agreement seems [in one case] not to have any follow-up” (translation from Spanish).

In the interviews, the negative assessment that processes and impacts were not adequately followed up was predominant. It was occasionally pointed out as an advantage by interviewees, especially from Southern provider countries, that the modality is a suitable means of replicating experience already gained – in some cases, from bilateral interventions – in new contexts, thereby achieving a certain diffusion of impact.

Some TrC were explicitly stated to be tied in with the bilateral programmes in the beneficiary country. For other measures, the impression arose that they were being implemented separately from the topics of the bilateral portfolio, as a way of flexibly implementing smaller measures which could not be realised under the programmes. This lack of tie-in and the ad hoc nature of the planning may be reasons for the omission to plan for a follow-up process after the end of the project term. However, this kind of follow-up would be the basis for ensuring that all those involved are clear about who will carry forward the activities and the results in what form after the TrC ends, and what resources are available for this purpose.

### Efficiency and challenges in planning and implementation

The main reasons for the non-achievement of results or impacts on the programmatic-thematic dimension as well as the limited sustainability are insufficient personnel, time and, to a certain extent, financial resources. Actors across all roles cited too short a duration as a limiting factor, whereas this was only a minor consideration in the project documents. When project periods are too short, it is not always possible to achieve the desired results. This is particularly true when the higher coordination overhead is borne in mind, which is just as demanding of time resources. All roles consider a lack of personnel resources to be a key problem. In most cases, there are no separate personnel on hand to deal with the implementation of TrC activities. As a consequence, staff in all roles are implementing the TrC in addition to their other tasks, which means that insufficient time is available for the TrC. Apart from a lack of resources, fluctuation of personnel is also a problem. There are very frequent changes of personnel, principally in the institutions of the Southern providers and beneficiaries. Fluctuation affects both the political and the implementation level. Finally, insufficient financial resources are a problem, especially from the viewpoint of the German interviewees. The constraining resource factors were perceived as problematic on the German side by respondents from the external and internal structure alike, and are also reflected in the project documents.

The area of coordination and communication is another overarching and specific challenge in relation to the implementation of TrC measures. This results from the greater number of partners that have to coordinate their work with one another. Coordination is made even harder at times when several institutions within a country are involved and the allocation of responsibilities for a TrC measure between them is not always clear. Only very rarely was it emphasised that internal coordination improved as a result of a measure. Coordination between the various partners is often very complex, especially in the initial phase of a TrC. These challenges lead to complaints about a lack of transparency in some cases, if an institution – usually on the beneficiary side – does not feel adequately involved in the process. Respondents occasionally reported that the second phase of a measure went better than the first, because lessons were learned from the first phase and structures and communication processes were adjusted. In the absence of a second phase or an adequate duration overall, it is not usually possible to make such adjustments.

In this context, both German stakeholders and representatives of the Southern providers cited cultural differences which add to the coordination overhead, including language problems in particular instances. Cultural aspects came up in the comments about all regions as well as intercontinental TrC. Cooperation between Thailand and Laos, for example, appears to be particularly difficult in this regard: the Thai side often referred to the two countries' different ways of working. All these challenges can mean that project steps and decision-making processes take a very long time – as explicitly highlighted in the evaluation of the TrC with Peru and Guatemala, for example.

Adding still further to the difficulty of coordination is the fact that the institutions (and staff) in question – of both Southern providers and beneficiaries – often have little experience in the coordination of TrC measures. Heavily bureaucratic processes combined with inexperienced institutions are time-consuming



factors in this context and lead to project delays. This aspect was raised primarily by the German side, but also occasionally by the Southern providers. Although in the first instance, the increased coordination and communication overhead is just a fact that actors need to take into account during planning and implementation, it is also associated with insufficient transparency, especially when budget issues are at stake.

The internal partitioning of GIZ's external structure sometimes has negative repercussions for transparency within a TrC. In some cases, a bilateral GIZ project in the countries of the Southern providers bears the main technical responsibility, while the GIZ country office established locally in the beneficiary country provides administrative support and does not contribute to the TrC measure thematically. TrCs with Costa Rica and Bolivia and with Thailand and Vietnam may serve as examples. For the relevant stakeholders on the beneficiary side, confusion arose in the course of the measure as to which person in GIZ was responsible, and hence the contact person. Which country takes charge of steering and project management depends, among other things, on how the cooperation was initiated: from which country did the decisive impulse come? In some cases, both GIZ offices are involved in the measure. Geographical distance was also mentioned as a factor causing delays to a measure if there is no direct contact person in situ.

Unclear objectives in a TrC were primarily viewed as a problem by interviewees from German development cooperation, whereas all roles occasionally raised the issue of overly ambitious objectives. The understanding of a TrC's objectives can vary, not only between the different roles but also within a role, if several institutions are involved in a measure. A divergent conceptual understanding can be a catalyst for differences in objectives: an example of this is the TrC with Guatemala and Peru, where the actors had differences of opinion over what was meant by small and medium-sized enterprises (SMEs). Similarly, the project documents contain references to imprecise impact models and target systems. Statements found in evaluation reports say that the objectives and results of the measures were not defined clearly enough, and strategic criteria for the implementation of the objectives were neglected. The evaluation of the TrC with Thailand and Laos aimed at promoting the mulberry-paper value chain found that there is no clear, overarching logic spelling out how inputs and activities contribute to the pursued outcomes and impacts. On the overarching level, differences between interests on the political and the implementation levels can occasionally be observed. On the one hand, a lack of interest in the measures was occasionally imputed to political decision-makers – most comments to this effect referred to Africa. On the other hand, both the portfolio analysis and the interviews attested to consistently high ownership of the measures on the part of actors of from all three roles on the implementation level. This is evident from the fact, *inter alia*, that the beneficiaries also participate very actively in the activities, make their own decisions on project implementation, and contribute material or financial resources. For instance, according to an evaluation, the partner institutions in the TrC “*Erdgasmesstechnik Lateinamerika*” (Natural gas metrology in Latin America) assumed responsibility for the metrology laboratories established by taking charge of construction and administrative tasks and contributing significant financial and personnel resources (Document 11, p. 26).

The question of efficiency is very much in the foreground in the context of TrC due to the supposed uplift in coordination overhead. On this aspect, once again, the diversity of the statements across all roles was very wide. Overall, the prevailing view – particularly among German IOs and Southern providers – is that the involvement of a third partner causes an increased coordination overhead, which is further amplified by the inexperience of some of the stakeholders, mentioned above. In the TrC with Brazil and Peru aimed at creating an environmental technology centre in Peru, the lack of prior experience as regards the involvement of three institutions and the lack of an operational project management framework and manual led to problems in professional communication and in the implementation of the first project phases. Transaction costs are particularly high at the beginning of a cooperation and diminish as its duration lengthens, once the partners have gained some experience and adjusted to each other (GPI, 2019; Langendorf et al., 2012). Since the duration of TrC measures is often relatively short, routine cooperation processes never have time to evolve in these measures. Moreover, administrative costs are proportionally higher for short measures than for longer measures. The bilateral programme “*Förderung der Dreieckskooperation mit Brasilien*” (Promoting Triangular Cooperation with Brazil) also found itself faced with these difficulties (Document 12), with the result that in the TrC measures it was “necessary to reduce the transaction costs continuously in future by means of standardised processes and well-practised

procedures” (translation from German). In the documents on TrC with Mexico and Bolivia for the reuse of treated water for agricultural irrigation, it is noted that the higher coordination overhead led to delays in the project implementation, or made communication and political consensus building substantially more time consuming.

However, it is also acknowledged that the financial and thematic load is spread among several actors, which in turn has a positive effect on efficiency. Another aspect highlighted in this context are the different kinds of expertise made available by the various actors involved in a TrC measure. It was occasionally pointed out by German actors that efficiency can be improved if TrCs are tied in with bilateral interventions and structures and can make use of their administrative infrastructure. This advantage is recognised in the project documents. In the evaluation of the TrC with Chile and Colombia aimed at strengthening waste management in Colombia, it was noted that Chile and Colombia had already been beneficiaries of bilateral cooperation with German development cooperation. This had been useful in creating synergies and knowledge transfer between the countries (Document 13, p.31).

However, the higher transaction costs of TrC must always be seen against the backdrop of TrC-specific advantages, which ideally arise in addition to the direct results of the measure. Aspects such as mutual learning, the establishment of cooperation relationships and horizontality (see 5.2.3 and 5.2.4), while they are linked to relatively time-consuming processes, represent important inherent objectives of TrC, as the ToC makes clear. A certain increase in overhead can therefore be quite justified, and a logical element of the measures with a view to achieving the additional objectives described. Hence, coordination can be interpreted as a part of project activities in its own right, and not merely a transaction cost that detracts from efficiency. Furthermore, achievement of the outputs must also be set in relation to the often-low level of input to TrC measures in terms of resources. Against this background, the efficiency of the measures can be assessed more positively than their effectiveness.

In summary, clear indications are found that TrCs can also make contributions to development-related objectives, especially if they benefit from the expertise of the various partners involved in the measures. Due to resource bottlenecks and other challenges in conceptual design and implementation, TrC measures often fail to utilise this potential to the full, resulting in insufficient effectiveness and sustainability in relation to development impacts in the beneficiary country. The strengths of TrC on the measures level arise primarily from specific aspects such as joint and mutual learning and improvement of the cooperation between actors. These additional benefits both necessitate and, to a certain extent, justify the relatively high coordination overhead, since coordination itself constitutes a part of those learning and cooperation processes.

Despite the mixed results regarding the impacts, sustainability and efficiency of TrC, the interviewed actors from all three roles arrive at a mainly positive assessment of TrC as a means for implementing measures and generating impacts. The fact that a sizeable share of TrCs are not tied in with the priorities and programmes of bilateral German development cooperation does entail the disadvantages described above, but has the advantage that the measures can be put to use very flexibly. They can be used on the one hand as small pilot projects to test new approaches, and on the other, for the replication of experiences drawn from bilateral development cooperation. Furthermore, respondents occasionally highlight the positive results achieved in relation to the low resource inputs. Overall, representatives of both German development cooperation and the Southern providers commented that, due to the advantages mentioned, TrCs can be seen as complementary to bilateral development cooperation and make a good addition to it. The German interviewees in LAC and, to a limited extent, in Asia referred primarily to the positive aspects on the level of measures and the complementarity of TrC with bilateral activities. The respondents in Africa placed a somewhat stronger focus on overarching aspects such as networking and the pooling of expertise. Beneficiaries across the regions made reference particularly to the advantages on the level of measures.

### 5.3.2 Success factors

In addition to analysis of the objectives of TrC from the perspective of the different roles and the achievement of those objectives, the evaluation analysed the data on the successful – or unsuccessful – implementation of TrC by factors, and included this aspect as an explicit question in the interviews. This analysis can be seen as a complement to or validation of the evaluations other findings. Accordingly, only a brief overview is given here of the most important success factors mentioned, across all roles and regions. Full explanations of the various factors are found in other sections of the chapter on findings (subchapters 5.1–5.3.1). Detailed tables showing the previously mentioned success factors broken down by roles and regions can be found in Annex 8.7.

In this context, instead of defining "successful TrC" in concrete terms, the concept was framed broadly and generally, such that success can relate both to the realisation of objectives of the measures and to overarching impacts. The factors mentioned may indeed have contributed to the success of the given measure. Another set of factors described were not present, but were identified as absent in the follow-up analysis and recommended for future TrC. It is important to emphasise here that one factor alone cannot result in the success of a measure, but rather, the interplay of several aspects on different dimensions should always be considered.

The analysis is limited by constraints on the comparability of the different roles and regions. Overall, significantly more interviews were conducted with German actors, including the German internal structure (BMZ), than with those from each of the other roles. The number of interviews and the mentioning of particular success factors also varies between regions, due to the different numbers of TrCs implemented: the findings in sub-Saharan Africa are of limited significance because comparatively few success factors were mentioned.

On an overall view across all roles and regions, once again the diversity and heterogeneity of the success factors mentioned is striking. This makes it difficult to identify "the" success factors for "the modality of TrC". Different factors can become important in different contexts. In LAC, a greater homogeneity tends to be found across all the roles in the success factors mentioned. This may be related to the greater, longer and more intensive experience with the modality that exists in this region.

A share of the factors mentioned by respondents are very commonly regarded as key to the success of a development cooperation measure, regardless of the type of cooperation. Others take on special importance because of the specific form of cooperation in a TrC or are "exclusive to TrC" to a greater or lesser extent.

Alignment is a factor that is often mentioned in relation to development cooperation, and which Southern providers and beneficiaries in particular consider significant for successful TrC. It describes the alignment of the measure with needs in the beneficiary country. To ensure this, a key step is the joint clarification of the beneficiary's needs prior to starting. Closely associated with this is the factor of ownership, which occupies a central position as a principle in development cooperation and in SSC as well. This principle is accorded equally prominent significance in TrC because the active participation of both the Southern provider and the beneficiary is pursued. For the evaluation, ownership was subdivided into two aspects. Firstly, it denotes the interest and commitment of all actors on the implementation level. This was especially emphasised as a success factor by German development cooperation and Southern providers, as indeed was the second aspect. Secondly, on the political level, ownership can be understood as "political backing" – by political institutions and decision-makers. Since TrC has not yet become established internationally as a modality in regular use, awareness on the political level and the resultant backing represent a first fundamental step towards more prevalent use in practice.

A notable finding is that horizontality, one of the central underlying principles of TrC, was viewed as very important by the interviewees from German development cooperation, whereas other actors mentioned it only to a very limited extent. The findings on the horizontality of TrC measures can be found in subchapter 5.2.4.

Other factors can be located mainly on the implementation level. These include role clarification, good coordination, competences of the IOs, and the provision of workshops. Role clarification denotes the establishment of a common understanding of the roles and contributions of the various actors in a TrC, and the clarification of responsibilities. It was by far the most important factor mentioned by German actors, but the other roles also regard it as central. Coordination and the competences of the IOs can be considered together. Coordination denotes the coordination of tasks, processes and responsibilities among the project partners, which facilitates the implementation of the measure. It is rated by all roles as an important success factor that the IOs come equipped with wide-ranging competences in project management, i.e. coordination, administration and M&E, and bring these to bear in the measures. These competences also include the general experience of the GIZ and PTB staff in development cooperation. The provision of workshops was mentioned by Southern providers and especially by beneficiaries as a central aspect. A further implementation factor, monitoring and evaluation, was emphasised by Southern providers only.

Aside from the principles and implementation factors, the TrC specificities and intercultural aspects make up another important group of success factors. Specifically mentioned in this regard were a common language (shared by the Southern provider and the beneficiary), similar socio-economic development, common culture (Southern provider and beneficiary), and trust (potentially resulting from the previous factors). These factors were cited with varying frequency depending on the respondents' roles. Interestingly, they were highlighted most often by German actors whereas actors in the other two roles mentioned them only occasionally. Even in LAC, where cultural homogeneity is greater than in the other two regions, Southern providers and beneficiaries rate the principles of cooperation and implementation factors as more important.

One final factor to be mentioned is flexibility, which can be interpreted to some extent as a TrC-specific factor. The flexibility that is possible in TrC was cited frequently as a major advantage, setting it apart from bilateral interventions. In the measures themselves, it is defined in terms of dynamic adaptation processes, e.g. adjustment of objectives or activities. In relation to the modality, it is expressed in terms of a flexible number of actors, flexibility as to the region and sectors selected for measures, and the flexibility to transfer tasks to the other partners in the event of financial or political difficulties.

On the German side, the IOs identify success factors on the levels of both the measures and the modality, while interviewees from the BMZ perceive them mostly in the modality. BMZ respondents made particular mention of political backing and tie-in of TrC with bilateral programmes. In addition, GIZ views its own contributions to TrC as an important success factor, and foremost among them, project management.

Finally, personnel fluctuation has to be mentioned as an explicitly cited failure factor that is not the result of non-fulfilment of a success factor. This aspect was mentioned particularly by German development cooperation and Southern providers. In some instances, personnel fluctuation can have a substantial influence on the course of the project, up to and including changes on the level of objectives. Subchapter 5.3.1 deals at greater length with personnel resources and their effects on results.

## 5.4 Regional differences in the conception and implementation of trilateral cooperation

### Box 8 Main findings – Regional differences in trilateral cooperation

Latin America and the Caribbean are viewed by German development cooperation as pioneers in the understanding and use of TrC. The LAC Fund manages 45 % of the BMZ's entire TrC-portfolio being analysed, sets standards and successfully promotes the dissemination of the modality. Consequently, TrC is implemented in LAC by an above-average number of Southern providers, dual actors and committed beneficiaries, which aspire to become Southern providers themselves in the future.

In Southeast Asia (as used to be the case in South Africa), engagement in TrC depends almost exclusively on bilateral funds from German development cooperation with Southern providers. While the Southern providers show great interest in TrC, the beneficiaries view the modality with indifference, their prime concern being to continue to benefit from development cooperation and to move their own development forward.

The BMZ is not currently promoting any TrC measures with South Africa. These were meant to serve as flanking support for the establishment of a development cooperation agency, which is now delayed for an indefinite period.

The three regions analysed show marked differences with regard to the framework conditions, the design and the objectives of TrC. In the following, the regional differences in the findings on TrC are compared in relation to the two dimensions of the evaluation and in relation to the roles and objectives of the actors.

### 5.4.1 Motivation and objectives of the actors

TrC is subject to very varied framework conditions in the regions, and these also influence the prioritisation of objectives and interests. In LAC, there are considerably more Southern providers and more up-and-coming beneficiaries than in other regions with more diverse programmatic-thematic as well as political-strategic interests. Hence, a large number of possibilities exist in LAC for putting TrC to use.

In Southeast Asia, the Southern providers' political-strategic, economic (e.g. opening up the African market, supported by intercontinental TrC) and foreign-policy interests are at the forefront. They especially appreciate German development cooperation for its worldwide contacts and local presence. Furthermore, Southern providers from Southeast Asia use TrCs to pursue the objectives of promoting impact-oriented capacity development of their development cooperation agencies, and promoting the visibility of their contributions to the SDGs. Beneficiaries in the Southeast Asian region are focused primarily on their own national development and on regional integration.

In sub-Saharan Africa, while German development cooperation was implementing its then-current anchor-country concept with South Africa as the only African Southern provider in the German portfolio, it was also focused on the establishment of the development cooperation agency SADPA (BMZ, 2004). Among its aims was the promotion of development-related know-how by means of TrC. The actors had divergent interests, however (subchapter 5.2.1): the South African actors were primarily interested in financial resources from German development cooperation, in order to extend the scope of their development cooperation without having to increase their own contributions. They resisted the exertion of any influence over the shaping of their development cooperation, which they regard as part of South Africa's sovereign foreign policy. For its part, German development cooperation offered expert support in the establishment of SADPA and in the flanking TrC measures, among other things.

### 5.4.2 Modality-related differences in the regions

#### Assessment of the modality by the actors involved

In LAC, the assessment of TrC as a modality by Southern providers and beneficiaries is mostly positive. They see it as a relevant form of international cooperation for the future, and one that makes a positive contribution to regional integration, knowledge transfer and the 2030 Agenda. In Southeast Asia, the

assessments from the LAC region are echoed by the Southern providers in particular. TrC is also valued as an opportunity for network building and for close and trustful cooperation with German development cooperation. Southeast Asian beneficiaries are indifferent towards the modality, or about whether development-related measures should be implemented bilaterally or trilaterally, as long as they reap a benefit from them. In sub-Saharan Africa, the actors from each particular role give mixed responses. Most beneficiaries deem bilateral development cooperation to be more attractive by most beneficiaries, not least because of a certain incomprehension about the modality of TrC. This contrasts with some responses from Southern providers and other beneficiaries to the effect that working with more partners means that more experience can be exchanged, and consequently better solutions can be found.

### Understanding of trilateral cooperation among the actors involved

The modality of TrC is understood in different ways in the three regions studied. By means of its HCD courses, the LAC Fund successfully promotes a common understanding not only of the modality of TrC, but also of how TrC measures are implemented. The latter includes knowledge of project application procedures, proactive engagement, etc. for both Southern providers and beneficiaries. In sub-Saharan Africa, no such common understanding existed. South Africa saw TrC primarily as a source of money without any financial commitment of its own. The beneficiaries there were not familiar with the objectives, potentials and procedures of the modality, nor with South Africa's role as a Southern provider in TrC. Specifically, they questioned the necessity for a Southern provider and instead preferred to access the donor's expertise and financial resources directly through bilateral development cooperation. To some extent, the same is true of beneficiaries in Southeast Asia. In that region, the challenge mainly resides in the actors' varied understanding of their roles, especially with regard to tasks and contributions. Here, too, the beneficiaries showed difficulties in understanding the role of the Southern provider.

### Roles

The actors fulfil their roles in TrC in accordance with the definitions given (subchapter 1.2), and go beyond those remits in some cases (subchapter 4.2). In regional terms, it is striking that only Latin American beneficiaries have a clear aspiration to assume the role of a Southern provider or dual actor in the future, which is further supported by their categorisation as middle-income countries (MIC). This aspiration is reflected in the fact that they actively valorise their own capacities, financial resources and expertise in TrC. In sub-Saharan Africa and to some extent in Southeast Asia, beneficiaries are more obviously interested in receiving external development cooperation support and welcome any development-related support. Beneficiaries in LAC select development expertise in a more targeted manner. In Vietnam, different comments were made: the occasional actor – such as COMFA – would like to offer its knowledge to other countries, yet would also like to continue learning from experts from industrialised countries.

### Contributions

- Funding

Southern providers and beneficiaries in LAC make the highest monetary contributions to the TrC measures of German development cooperation, in comparison to the other regions, and in some cases exceed the BMZ ideal for the distribution of contributions (see subchapter 3.3). In Asia, Southern providers contribute somewhat less and beneficiaries significantly less than LAC actors. In Africa, Southern providers contributed the least by regional comparison and do not meet the objective pursued by German development cooperation by far. The probable explanation for this is that beneficiaries in both sub-Saharan Africa and Southeast Asia are primarily interested in bilateral development cooperation. The regional contexts play a decisive role, since TrC has been established as a form of cooperation in LAC for substantially longer than in the other two regions. Moreover, partnerships are rooted in a longer tradition among more homogenous cultures, as opposed to South Africa's extreme regional isolation under the apartheid regime.

The financing of TrC by German development cooperation in sub-Saharan Africa and Southeast Asia is or has been handled via bilateral funding, initially transferred to the Southern provider. In contrast, the LAC Fund is a regional funding source.

- In-kind contributions

Beneficiaries in all regions primarily make in-kind contributions, which take the form of logistical support or the provision of personnel. The scale of in-kind contributions of Southern providers in the different regions varies widely. In South Africa's case, the provision of partner inputs was difficult because there was disagreement over what South Africa should contribute in principle. In Southeast Asia and LAC, these contributions are concentrated mainly on the provision of personnel.

- Expertise

In all regions, Southern providers make their contribution in terms of programmatic-thematic expertise, and fulfil their role in knowledge transfer. In LAC, moreover, beneficiaries also contribute technical expertise to TrC. That is to say, peer learning takes place. Furthermore, the beneficiary's knowledge of the given context is essential in all regions. For that reason, the articulation of one's own needs beforehand is important and does indeed take place frequently.

### Intercultural regional specificities

A key advantage for TrC in LAC is the region is far more homogeneous in linguistic, historical and cultural respects, and that there is closer cohesion and more collegial exchange than between countries in other regions. This is evident at regional meetings on TrC and SSC, whose hallmark is often a very "familial" character. In Asia these are conducted with more distance and formality. Southeast Asia is markedly more heterogeneous. Cultural barriers exist there which affect the coordination of TrC, the different ways of working and differences in political systems, e.g. between Thailand and Vietnam or Indonesia and Myanmar. In order to pre-empt conflicts, Indonesia, in particular, strictly follows the SSC principle of non-interference in affairs of state in other countries. Some actors view these challenges in positive terms, since they stimulate creativity. Additionally, in Southeast Asia and sub-Saharan Africa, language barriers pose an intercultural challenge. According to some stakeholders, South Africa cannot serve as a structural or cultural broker in the region. It is unfamiliar with many contexts of other African countries and has undergone a different course of development. For example, South Africa faced different challenges in establishing its political system than most other countries of sub-Saharan Africa, which had to break free from external colonial systems (Clements, 2018). Actors in Tanzania perceive the cultural differences with Germany as greater, however, and acknowledge South Africa as a cultural broker.

Intercontinental TrC is beset with special challenges, primarily due to geographical distance. There are varying assessments of linguistic and cultural differences: between Brazil and the Portuguese-speaking countries of Africa, these are not as pronounced as, for example, between Costa Rica and Tunisia.

### Use of the modality

On the basis of long-standing experience and constant ongoing development, the LAC Fund provides clear structures and criteria in the procedures for its TrC measures whilst allowing sectoral flexibility. The LAC Fund has thus established standards for role clarification, project applications, partners' own contributions, M&E, personnel competence and networking. This is greatly appreciated by Southern providers and beneficiaries. The fund currently faces the challenge that, while its budget remains static, the partners' interest in TrC is constantly growing. The consequences are either to approve more measures with lower budgets, or to reject or postpone more potential measures. According to many actors' responses, this is increasingly causing frustration among the partners and prompting them to seek other donors.

In Southeast Asia, processes for the standardisation of TrC procedures are pursued bilaterally, and are not consistent across the region but are programme- or country-specific. Similarly, in sub-Saharan Africa the TrC structure was tied to the bilateral programme of the TriCo Fund. This limited beneficiaries' access to the modality of TrC for the purpose of taking part in TrC procedures or attaining a common understanding of TrC.



## Horizontality

Particularly Southern providers in LAC and Southeast Asia perceive TrC as being more horizontal than bilateral cooperation is. Beneficiaries in both regions as well as in sub-Saharan Africa express this same perception, but also see limitations on horizontality which are person- and measure-dependent, e.g. due to the vertical mindset of some individuals on the staff of the relevant Southern providers.

### 5.4.3 Differences regarding the impact dimensions

#### Partnerships, South-South cooperation and regional development

In LAC there are already a variety of regional, often informal partnerships between countries, which are promoted by TrC in the formal cooperation framework of the measures, and in some cases enhanced by economic cooperation. These include the intercontinental TrC that has so far only taken place with Southern providers from LAC, principally between Brazil and the Portuguese-speaking countries of Africa. In Southeast Asia, there has been some success in establishing partnerships and networks primarily on the technical level, such as between universities in the Southern provider and beneficiary countries. As in LAC, cooperation relationships in this region are chosen in a targeted way, concentrating on a few cooperation partners, however (cf. subchapter 3.6). In sub-Saharan Africa, due to the termination of the TriCo Fund, partnerships arising from the few TrCs were only supported to a very limited extent and no new cooperation relationships were identified.

## Visibility

In LAC, by virtue of the disproportionately higher number of TrC measures and longer durations, higher regional visibility is achieved for the actors and the modality of TrC than in the other regions. In part, this is because TrC is conceptually different in LAC. For one thing, it is much more common here than in other regions for successful bilateral development cooperation projects to be taken forward as TrC measures in third countries; for another, the actors and TrC are supported more systematically by German development cooperation, i.e. through the third field of action of the LAC Fund. In Southeast Asia, TrC is receiving a very high level of political attention, mainly due to the strong interest of Southern providers in the modality.

#### Development cooperation structures

German development cooperation's objective of strengthening the capacities of Southern providers and generating applied expertise in development cooperation by means of TrC is accomplished very well in LAC, thanks to the large number of TrCs, the long-standing commitment of the actors and the structured support provided via the LAC Fund. In Southeast Asia, too, some successes can be registered in this area, particularly in respect of building applied development cooperation expertise.

In South Africa, German development cooperation likewise wanted to use TrC to generate development cooperation expertise as a flanking programme while supporting the establishment of the South African development cooperation agency SADPA. As a result of changed political priorities in South Africa as well as growing difficulties of internal coordination and disputes over the allocation of responsibilities, however, at present SADPA still has not been founded (cf. subchapter 5.2.1). German development cooperation discontinued the TriCo Fund in 2015. Other traditional donors also withdrew from supporting the South African development cooperation agency. In addition, the establishment process on the South African side was heavily dependent on particular individuals and barely anchored as an institution. Once the person originally responsible was no longer available, delays occurred. For the South African side, the overall focus was on aspects such as financial support for its own development cooperation and economic motives of its own. From its very inception, the TriCo Fund had serious problems due to misjudgements, misunderstandings, inconsistent steering and conceptual errors. The first projects were put out to tender in a national newspaper and contracts subsequently awarded without any focus on the beneficiaries' needs or on urgency. In contrast to other regions, the selection of projects and the project management were shared between German development cooperation and the South African side on relatively equal terms, but without involving the beneficiaries. Moreover, designating the bilateral programme as a "fund" fuelled



expectations of an accessible source of finance. All this led to applications from numerous organisations, often South African non-governmental organisations, associations and institutions that were neither connected with SADPA nor able to fulfil the role of beneficiary, and were more interested in the financial resources than in development policy objectives. The sheer processing of so many applications stalled the programme significantly. In the wake of this experience, the approach was changed; the Fund was renamed as a "Programme" and oriented more towards supporting the agency to be founded, SADPA. German development cooperation remained very optimistic about the processes for establishing SADPA and the significance of the TriCo Fund/TriCo Programme for South Africa. A lack of efficiency nevertheless remained an issue, particularly in relation to time management and decision-making powers in the joint steering of the programme.

## 5.5 Findings in terms of DAC criteria and South-South cooperation principles

DAC criteria	
Relevance	<p>TrC as a modality – specifically as a component of SDG 17 – is a relevant means of implementing the 2030 Agenda.</p> <p>On the political-strategic dimension, the focus is on the cooperation relationship with the Southern providers. Apart from the relationship between German development cooperation and Southern providers, the South-South cooperation relationship between Southern providers and beneficiaries is also significant. TrC is a relevant modality for promotion of the cooperation relationships mentioned.</p> <p>When using the modality, the programmatic-thematic dimension is a lower-priority consideration, which is why TrC is less oriented towards the beneficiaries' priority development challenges. Within the measures, however, an alignment with national priorities of the beneficiaries is mostly found.</p>
Effectiveness	<p>On the political-strategic dimension and in the TrC specificities (learning and principles of cooperation), the objectives of German development cooperation – such as mutual learning or the promotion of cooperation relationships – are most notably achieved in LAC. While the objectives are largely being achieved in Southeast Asia, in sub-Saharan Africa they have not been achieved.</p> <p>On the programmatic-thematic dimension, the majority of outputs are achieved in the measures, but contributions are seldom made to outcomes.</p> <p>Given that excessive objectives tend to be set, not all objectives are achieved in equal measure.</p>
Efficiency	<p>In absolute terms, the use of financial resources is low. Nevertheless, given these limited resources, a relatively large number of objectives are achieved on the political-strategic dimension.</p> <p>The greater need for coordination leads to relatively high transaction costs, especially at the beginning of a TrC, which negatively affects the efficiency of the measures. The higher transaction costs must be seen against the background of the TrC-specific benefits – such as learning and cooperation relationships – which ideally arise in addition to the direct results of measures. A certain increase in overhead is thus quite justified and is a logical element of the measures to achieve the TrC-specific benefits.</p> <p>The limitations on the effectiveness of TrC measures must also be assessed against the background of the often-low level of input in terms of resources. The efficiency of TrC is often more positive than its effectiveness.</p>

Impact	<p>The modality of TrC, consisting of the individual measures, is too small-scale to contribute to the impact level. The attribution gap is large, and there are only occasional references to impacts. Contributions are made on the political-strategic dimension, e.g. to the establishment of global development partnerships by means of consolidated cooperation relationships with Mexico.</p> <p>It was impossible to reconstruct with plausibility whether and how the identified outputs of the measures contribute to medium- and long-term effects (outcome and impact level). Long-term effects that go beyond the direct development impacts are most evident in joint learning and in the establishment and intensification of cooperation relationships.</p>
Sustainability	<p>On the political-strategic dimension, sustainability is found in some areas. This is evident, for instance, in the intensification of cooperation relationships through ongoing activities among the same actors.</p> <p>Along the same lines as the effects, the sustainability of TrC measures is found to be mostly unsatisfactory. A frequent lack of tie-in with bilateral topics and an ad hoc approach to planning may be reasons for the omission to plan for a follow-up process, and hence sustainable use of the results, after the end of the project term.</p>

### South-South cooperation principles

Horizontality	<p>Horizontality is primarily achieved between Southern providers and German development cooperation. The relationship with the beneficiary is often more vertical in nature.</p> <p>Horizontality is not a systematic feature of the measures and thus depends on the people involved and the design of the specific measure. Consequently, horizontality is only partially achieved in the TrC carried out by German development cooperation.</p>
Mutual benefit	<p>Mutual benefit is present in TrC, although each role derives the main benefit for itself from a different area. For German development cooperation and for Southern providers, the benefit is primarily on the political-strategic dimension. Using the modality of TrC, it is possible to continue to cooperate with each other on development policy after what is known as ODA graduation, and thus consolidate partnerships. On the programmatic-thematic dimension, the benefit is primarily achieved via exchange of experience and mutual learning. Beneficiaries and Southern providers engage mainly in thematic and methodological learning. The complementary expertise of the three actors gives rise to added value from a development policy perspective.</p>
Demand orientation	<p>Demand orientation is formally achieved once the beneficiary submits a project application to the donor or the Southern provider. In reality, especially in sub-Saharan Africa and Southeast Asia, measures are frequently initiated by German development cooperation and/or Southern providers. In LAC this occurs less often. However, a more decisive aspect than formal demand orientation is the participation of beneficiaries in TrC, to implement measures that are successful and adapted to real needs.</p>
Ownership	<p>Among beneficiaries there are indications that the degree of ownership varies widely in the different regions. In LAC, beneficiaries are very active and their focus is on how they benefit from TrC – on both the political-strategic and the programmatic-thematic dimensions. This leads to greater ownership and is promoted mainly through participatory and, to a partial extent, horizontal cooperation. In Southeast Asia and sub-Saharan Africa, on the other hand, the majority of beneficiaries view the modality with indifference. Nevertheless, on the programmatic-thematic dimension a high level of ownership of the measures is present. Many Southern providers have strong political</p>

	<p>backing and thus a high degree of ownership of TrC. Although this relates primarily to the political-strategic dimension, there are also indications of ownership on the programmatic-thematic dimension.</p> <p>In German development cooperation, the degree of awareness about the modality is low and not widespread, and the detailed design of the measures is heterogeneous. Consequently, on the programmatic-thematic dimension, ownership is dependent on particular individuals and on the detailed design of the measure, and is thus partially achieved.</p>
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## 6. CONCLUSIONS AND RECOMMENDATIONS

In recent decades, trilateral cooperation (TrC) has gained in significance internationally. Certainly since the Second High-level United Nations Conference on South-South Cooperation (BAPA+40) in March 2019,<sup>21</sup> which underscored its significance, it has become reasonable to foresee that this trend will persist. Whereas the original focus of TrC originally had a stronger emphasis on improving the effectiveness of measures in the beneficiary country by means of contributions from the Southern provider, for the last few years TrCs have increasingly been used as a means of working together to address global development challenges. In addition to the traditional DAC donors, more and more emerging countries –and indeed developing countries – are now ready to assume more responsibility in their regions and globally. Against this backdrop, TrC is considered to have great potential for promoting international cooperations, strengthening mutual learning, but also enhancing the effectiveness of development policy measures. For this reason, TrC is increasingly being mentioned explicitly in international documents as an important modality in development policy, notably in the 2030 Agenda and most recently in the BAPA+40 Outcome Document (UN, 2019).

German development cooperation is acknowledged internationally as a pioneer in the use of TrC. Nevertheless, TrC has only occupied a marginal role within German development cooperation so far. The reluctance to use the modality results in large part from a lack of knowledge about the potential of TrC, and a consequent undecidedness on the part of the German actors. Indeed, there have been hardly any evidence-based studies to date, either on TrC-specific benefits or on the impacts of TrC on both dimensions. The few publications that do exist deal mainly with the potential of TrC or are based on anecdotal evidence. A comprehensive analysis of the German TrC portfolio from 2006 to 2018 was therefore carried out as a basis for the present evaluation. The aim of this evaluation was to find out to what extent the objectives and expectations attached to TrC by the actors involved in the modality – particularly those from German development cooperation – have been realised, and what impacts on the political-strategic and the programmatic-thematic dimensions have been and could be achieved.

The diverse objectives and expectations that all actors (donors, Southern providers, and beneficiaries) associate with the modality of TrC in German development cooperation are being achieved to varying degrees in the three regions of Latin America and the Caribbean (LAC), sub-Saharan Africa and Southeast Asia. Some cooperation relationships have been newly established or consolidated, South-South cooperation promoted, development cooperation structures strengthened and a contribution made to the implementation of the 2030 Agenda (especially on the partnerships for development pursued under SDG 17). TrC is also becoming more visible internationally as a modality of development cooperation. However, the impacts and sustainability of the measures on the programmatic-thematic dimension are relatively low.

Accordingly, the evaluation attests to the potential of the modality of TrC to achieve long-term impacts on the political-strategic dimension. In practice, this largely coincides with the objectives of the actors, since their main motivation for the use of TrC is to achieve political-strategic objectives. For German development cooperation and for a majority of the Southern providers, the focus is on their relationship with each other and on reinforcing the Southern provider in its new role as an active co-player in development cooperation. TrC is thus an appropriate modality, under certain conditions, for the pursuit of political-strategic objectives, but should continue to be improved. The objectives on this dimension often touch on other policy areas with an international outlook. Whether they nevertheless belong solely within the remit of the Federal Ministry for Economic Cooperation and Development (BMZ) or, if not, whether they should be dealt with in cooperation with other departments of the German government, or made their responsibility entirely, is a matter on which the evaluation is unable to draw definite conclusions.

Where the aim on the programmatic-thematic dimension is to reach beyond the direct objectives of the measures and deliver long-term and sustainable contributions to development policy objectives, TrC in its current form in German development cooperation is only suitable to a limited extent. At present, it is

<sup>21</sup> The BAPA+40 conference is the 2nd High-level United Nations Conference on South-South Cooperation, 40 years after the adoption of the Buenos Aires Plan of Action for Promoting and Implementing Technical Co-operation among Developing Countries in 1978 (<https://www.unsouthsouth.org/bapa40>).

scarcely possible to reconstruct how the outcomes of the mainly small-scale measures are intended to contribute to overarching development goals. The contributions vary enormously, however, and are dependent on context of the given project and country. This suggests that if the implementation of TrC were more impact-oriented, its strengths could be harnessed significantly better for the pursuit of development objectives than has previously been the case. It is necessary to strengthen the programmatic-thematic dimension in the design of TrCs, because in the light of the objectives of German development cooperation and its self-commitment to implementing the aid effectiveness agenda, an unduly one-sided focus on political-strategic goals cannot be assessed as satisfactory. The indirect causal pathway, which eventually leads to improvements for target groups in the beneficiary countries as a side-effect of establishing cooperations and strengthening the Southern providers, is insufficient for this purpose.

Three major overriding challenges stand in the way of more effective and efficient use of the modality in German development cooperation on both dimensions:

1. Within German development cooperation there is no common understanding about the TrC modality and its usage. Accordingly, there is neither systematic nor strategic pursuit of the objectives of the BMZ's TrC strategy, and in practice the use of TrC is highly heterogeneous. Depending on the region and other conditions of the context, the focus of a TrC can vary between the political-strategic dimension and the programmatic-thematic dimension. Within both dimensions as well, many different approaches to TrC have taken shape. On the one hand, this flexibility is one of the modality's strengths, but at the same time, it carries the implication that standard procedures for the implementation of TrC barely exist and the detailed design has to be negotiated afresh in each new case. The lack of both a strategic approach and a common understanding can have negative effects on joint impact-oriented implementation of TrC measures.
2. The BMZ is not in possession of sufficient relevant information from ongoing and completed measures to be able to coordinate the modality in the way that would be necessary in order to make strategic use of TrC. This substantially adds to the difficulty of aligning the overall portfolio with the implementation of the BMZ's strategic objectives. There are neither existing indicators for measuring the achievement of strategic objectives, nor any overarching monitoring system for recording and analysing TrC measures in terms of how they contribute to the strategic objectives; therefore the generation and dissemination of learning experiences is only possible to a limited extent.
3. In most cases, TrCs are not implemented in a systematic and impact-oriented manner because sufficient financial and human resources to do so are not made available. In the coordination of the modality, the lack of information and knowledge management systems is compounded by the shortage of human resources to analyse and process the experience gained and feed it back into the development cooperation system. On the implementation level, the effectiveness and sustainability of the measures are negatively affected by under-resourcing.

If substantial contributions are to be made to the intended objectives by means of TrC, in the light of the limited impacts of the modality observed on both goal dimensions, it seems necessary to increase the effectiveness and efficiency of TrC. Otherwise, the modality will stop far short of its potential, especially in terms of its development effects in the beneficiary countries. TrC would not then be in a position to make significant and appropriate contributions to addressing global development challenges.

This evaluation identified five areas in which there is potential for improvement. This should be utilised to enable TrC to contribute effectively and efficiently to achieving the intended objectives. The recommendations are addressed principally to the BMZ. In three designated areas the recommendations are also directed to the Gesellschaft für Internationale Zusammenarbeit (GIZ) and the Physikalisch-Technische Bundesanstalt (PTB). Each recommendation is made more specific by means of implementation recommendations.

### Trilateral cooperation strategy and objectives

At present, German development cooperation associates a range of objectives on both dimensions with the modality of TrC. Some of these are explicitly listed as “goals” in the BMZ strategy, while others are only referred to in context or implicitly suggested in the paper. Some additional objectives are pursued implicitly

in the course of implementation. However, the numerous implicit and explicit objectives do not make it clear what TrC within German development cooperation is intended to achieve, specifically and as a priority. Consequently, this lack of clarity affects the use of the modality, which does not follow a clear strategic direction. In addition, the large number of objectives and expectations is an expression of the actors' varying understanding of the concept and usage of TrC. For example, TrC is initiated in very different formats – e.g. as a pilot, as a replication of bilateral experience, as a sector-independent measure or as an add-on to bilateral interventions. Although all the actors in the three roles are interested in achieving impacts on both dimensions by means of TrC, German development cooperation and Southern providers in particular see the political-strategic dimension as the main priority. The latter is closely linked to the programmatic-thematic dimension (subchapter 2.1), because when measures are implemented successfully, there are also increased chances of achieving political-strategic impacts.

Due to the large number of objectives and relative lack of awareness of it generally, the strategy cannot do justice to its aim of providing help and guidance for the German implementing organisations (IOs) (BMZ, 2013: 3). Furthermore, the missing link between the strategy and the concrete implementation confronts the latter with a major challenge. Since the objectives of the individual measures are barely linked to the strategy and the results of TrC are not monitored centrally, particular individuals and institutions can exert great influence over the detailed design of the given cooperation. A clear BMZ strategy for TrC would undertake a prioritisation of objectives, enabling both explicit and hitherto implicit objectives to be pursued in a systematised and concrete manner. Moreover, a clear BMZ strategy for TrC would bring clarity to the external presentation of the specific objectives and expectations that German development cooperation attaches to the modality.

Although Germany is regarded in international comparisons as a pioneer in the implementation of TrC and is in heavy demand from most partners, within the German development cooperation system the modality is being implemented only hesitantly. Knowledge deficits and undecidedness about the modality may be reasons for this. Currently, the funding for TrC accounts for a mere 0.047 % of the BMZ budget. Only the individuals directly responsible for TrC are more closely acquainted with the modality. Furthermore, TrC does not have a very high profile in German development cooperation and, despite its growing importance on the international stage, remains a lower-priority form of development cooperation.

Based on the economic development status of a partner country (LIC, MIC, HIC according to the World Bank classification scheme),<sup>22</sup> the BMZ classifies its partner countries for TrC ("in the strict sense", (BMZ, 2013: 4)) as fitting the role of beneficiary (LIC and MIC), Southern provider (MIC) or donor (HIC). Increasingly there are partner countries which are in the process of graduating to a higher country category or being downgraded. In LAC, the number of countries performing dual roles in TrC is increasing, which means that in practice the formal role categories are already being dismantled. While eligibility for Official Development Assistance (ODA) must be taken into consideration when selecting a partner country, the BMZ could nevertheless act even more flexibly when subcategorising the countries in respect of their roles in a TrC. Although the BMZ recognises role constellations such as two Southern providers with one donor or two beneficiaries with one donor as "special forms" of TrC ("TrCs in the broader sense", (BMZ, 2013: 5f.)), it concentrates on TrC in the strict sense, and in practice often limits the flexible application of the roles. With a view to achieving global objectives such as joint learning or the establishment or consolidation of strategic cooperation relationships, the evaluation considers that enhancing the flexibility of roles offers even greater potential. In the context of TrC, the role constellations whereby, for example, beneficiaries may act as Southern providers and so-called "emerging countries" as beneficiaries, should be determined primarily by the given development policy objective and not by a country's financial development status. The BMZ's strategic process on "Development policy 2030" may yield opportunities to further enhance the flexibility of role constellations within TrC.

<sup>22</sup> LIC = low-income country; MIC = middle-income country; HIC = high-income country (The World Bank Group, n.d.).

**Recommendation 1: The BMZ should sharpen its TrC strategy and decide which objectives, on which impact dimension, it wants to prioritise and achieve by means of TrC.**

1.1 To this end, the BMZ should explicitly name high-priority but as-yet implicit objectives in the TrC strategy. In addition, the strategy should describe the specific benefit of the modality for the achievement of each given objective in concrete terms.

1.2 The BMZ should align the selection of partner countries with its strategic objectives. In doing so, the BMZ should make even greater use of the possibility of flexible application of the roles within TrC.

### Strategic steering and guidance in the use of trilateral cooperation

Strategic steering by the BMZ will be required in order to implement a sharpened TrC strategy. The effective and efficient use and coordination of TrC as a form of cooperation will, in turn, require knowledge, understanding and transparency about the modality and the strategy among all actors in German development cooperation. Equally, the necessary resources and, if need be, TrC-specific structures will also be required.

As there is neither a systematic knowledge management and monitoring system on the level of TrC as a modality of development cooperation, nor a distinct policy marker for registering TrCs in the German development cooperation system, a results-oriented gearing of the entire TrC portfolio towards achievement of the strategic objectives is scarcely achievable. No clear connection is made between the strategy and the actual implementation. There are no indicators for measuring the achievement of the goals in the strategy, either in the individual TrC measures or in the superordinate interventions. Even if (explicit or implicit) objectives of individual TrC measures do correspond to the strategic goals of the BMZ, to what extent the strategy as a whole is being implemented cannot be determined systematically. This evidence gap poses a challenge for the strategic orientation and coordination of the modality. German development cooperation has already taken initial steps to reduce the evidence gap: For example, the LAC Fund carries out measure-aggregated evaluations, and TrC measures in LAC have incorporated indicators on learning taken from the Organisation for Economic Co-operation and Development (OECD) Toolkit on monitoring and evaluation (Piefer and Casado-Asensio, 2018). Southern providers in Southeast Asia are planning to do the same. The relatively manageable size of the German portfolio means that a systematisation of learning experiences, including regional and global lessons learned, on the use of the modality of TrC on the level of the overall portfolio could realistically be implemented. A prerequisite for doing so is a consistent understanding among German development cooperation actors of what TrC is, so that a development cooperation measure can be identified and registered as such, for example. However, the policy marker to facilitate this does not exist, so that it is not possible to ensure a complete record of all TrC measures in the BMZ portfolio. The TrC portfolio is also very heterogeneous. On the one hand, this has advantages with regard to flexibility in the use of TrC; on the other hand, there is a risk that the design of TrC measures will be arbitrary in terms of objectives and approach.

A further challenge for the use of the modality arises from its administrative dependence on the bilateral systems of the actors. As a rule, the personnel, financial resources, structures, procedures and in some cases the topics of TrC measures stem from current or past bilateral development cooperation with Germany. The advantage of this in terms of efficiency, on the one hand, is that existing structures and well-established processes can be used. On the other hand, it also results in higher overheads – for example in coordinating the actors in the three roles – as well as delays in implementation, and hence efficiency losses. Implementation on the basis of bilateral structures harbours the risk that actors may lose sight of the international perspective of the TrC if they (still) primarily think in terms of bilateral models and relationships. In German development cooperation, only the LAC Fund offers an alternative financing model: It uses regional funding, does not make any bilateral commitments to individual countries, and personnel are not tied to bilateral structures.



### **Recommendation 2: The BMZ should strengthen its strategic steering capacity with regard to the modality of TrC.**

2.1 For the effective use and strategic steering of TrC, the BMZ should establish or improve information and knowledge management systems, and particularly

- generate a distinct TrC policy marker and apply it in German development cooperation,
- develop indicators for the strategic objectives, track these during the measures, and compile and analyse them in a superordinate and practicable monitoring system,
- carry out systematisation of the portfolio and of lessons learned in relation to the modality of TrC.

2.2 The BMZ should link up its strategy and its usage of TrC by ensuring that measures are geared towards achieving the strategic objectives of the modality.

2.3 The BMZ should strengthen its internal coordination and advisory function for TrC, which performs the tasks mentioned in 2.1 and 2.2 in continuous exchange with the regional and global divisions involved and ensures coherence with other forms and strategies of development cooperation. This requires adequate resourcing of the coordination and advisory function.

2.4 The BMZ should examine whether TrC can be connected to existing regional structures and procedures, or whether it makes sense to establish such structures and procedures to increase the effectiveness and efficiency of the modality. In either case, coherence with the bilateral portfolio should be ensured. The financing structure of the LAC Fund can be consulted for good practice on this matter.

### **Development impacts of trilateral cooperation measures**

The evaluation found that for most actors engaging in the three different roles of TrC, the focus is on achieving impacts on the political-strategic dimension. This is where TrC has the greatest potential to generate effects. At the same time, it emerged during the data collection that in some contexts – e.g. among beneficiaries in Southeast Asia and sub-Saharan Africa – the pursuit of programmatic-thematic objectives is the foremost concern.

Despite all the challenges in the implementation of the TrCs analysed, the evaluation attests to the modality's potential to contribute to development impacts in the beneficiary countries. This potential arises *inter alia* from the fact that the Southern provider, an additional partner, is available and able to provide resources in the form of financing, expertise and personnel to achieve the objectives of the measure. In the specific form of TrC currently used in German development cooperation, however, this potential is not fully realised. Although the objectives of the measures are mostly achieved, the medium- and long-term effects (outcome and impact level) and their sustainability are found to fall short of satisfactory. While TrCs are heavily dependent on bilateral processes administratively, from a thematic viewpoint they are frequently implemented as small, stand-alone measures with low budgets and limited time resources – e.g. as short-term pilot measures which are only sometimes tied in with bilateral topics and programmes in the beneficiary countries. In addition, the measures are rarely designed to achieve lasting and broad-scale effects, with the result that frequently, no sustainable programmatic-thematic impacts occur. It is scarcely possible to reconstruct how the outputs of the measures are intended to contribute to overarching development goals (impact level) that are documented in the theory of change (ToC). However, both the achievement of the outputs as well as the unsatisfactory contributions to the outcome and impact level must be set in relation to the often-low level of input to TrC measures in terms of resources. Against this background, the efficiency of the measures can be rated more positively than their effectiveness.

Tying TrC more closely to development issues and topics covered by the German bilateral portfolio in the given beneficiary country is one way of making sure that measures achieve impacts beyond the end of their term. It would also ensure the coherence of the German development cooperation portfolio in the countries concerned. For TrCs with a certain amount of resourcing, in particular, a tie-in can be an appropriate approach. Specifically for small measures, other approaches are also conceivable to safeguard sustainability: for instance, if developments initiated by the TrC are subsequently carried forward by one or both Southern partners without any further German input.

In this context, the possibility of a thematic tie-in with the bilateral portfolio does not contradict Recommendation 2.4. This deals with connecting to regional structures or establishing such structures, and creates the administrative framework for the measures. Convergence with the bilateral portfolio, on the other hand, relates to thematic aspects.

The potentially higher transaction costs of TrC in comparison with other forms of cooperation are frequently put forward as an argument against greater use of the modality. A reduction of transaction costs within measures by standardising communication and coordination processes often does not happen, simply because their duration and budget are not sufficient to permit it. The more complex processes that result from the addition of a third partner can be seen as activities on the way to achieving the TrC-specific benefits (such as joint and mutual learning), and not merely transaction costs that detract from efficiency.

In addition to the development impacts, aspects that have emerged as specific benefits of TrC are the exchange of experience and the resultant mutual and joint learning, both on the technical level and in the area of project management. Joint and mutual learning explicitly includes learning experiences on the part of the donor. However, it was found that on the German side, learning takes place only rarely. Moreover, the German development cooperation system is not designed to record and process learning experiences systematically and make the accumulated learning available to other German development cooperation actors. A further issue is that the generation of learning experiences – including for German development cooperation – is not anchored as an objective in the measures, and is therefore not documented. This deficit is closely related to the inadequate knowledge management on TrC within German development cooperation (cf. Recommendation 2). One challenge is to provide unequivocal evidence of the successes and limitations of TrC in these areas and to communicate them. As a consequence, some actors in German development cooperation are not aware of the potential of TrC or assess that this potential is low.

Insufficient consideration of mutual learning is one reason why horizontality between the partners is only partially achieved, even though it is a fundamental principle of cooperation in TrC. Horizontality is also seen not only, but especially, by the actors of German development cooperation as an important success factor. Horizontality is primarily achieved between German development cooperation and Southern providers, whereas the relationship between German development cooperation and the beneficiaries is still often vertical in nature. The involvement of beneficiaries in TrC can better be described as participatory than as horizontal.

The fact that owing to the challenges described, TrC does not fully realise its potential for impacts on the programmatic-thematic dimension or in the area of mutual and joint learning can have repercussions on the political-strategic dimension. That is to say, if activities are not kept in use and continually developed after the end of the term, their chances of giving rise to long-term partnerships between the actors or between individual participating institutions may diminish.

**Recommendation 3: The BMZ and the IOs should plan and implement TrC more strategically to enable better utilisation of the potential of TrC to achieve development impacts and better valorisation of TrC-specific benefits such as mutual and joint learning.**

3.1 Specific benefits of TrC, such as the fostering of an exchange of experience and of mutual and joint learning, should be incorporated into planning as distinct objectives of a measure, and tracked accordingly in the monitoring and evaluation system.

3.2 The sustainable use of results after a measure comes to an end should be planned from the very start of a measure. This follow-up should clearly identify which actors, with which resource inputs, will be responsible for carrying forward the activities and the changes initiated during the measure.

3.3 In order to improve effectiveness and sustainability, to reduce transaction costs and for reasons of portfolio coherence, the content of TrC measures should be linked to the bilateral programmes of German development cooperation in the given beneficiary country.

3.4 To ensure that TrC measures can be designed in accordance with these recommendations, they should be planned on the basis of sufficient financial, personnel and time resources.

### Cooperation with Southern providers

The evaluation found that the relationship between German development cooperation in the donor role and the respective Southern provider is the focus for German development cooperation when using the modality of TrC. This modality is used so that, on the one hand, Southern providers can assume more responsibility in solving global and regional challenges and, on the other, German development cooperation can continue its development cooperation relationship with them. This is a particular focus for countries that are undergoing or have undergone what is known as the ODA graduation process. The evaluation attests that the modality is a relevant and tried-and-tested means of maintaining cooperation with former (ODA) beneficiaries. This is taken forward in a new relationship as partners on a more or less equal footing. Through TrC, German development cooperation is thus strengthening its relationship with countries that are gaining influence on the world stage and on international committees. This is important both from a development policy and a foreign policy perspective.

In the cooperation with and promotion of Southern providers, the focus is on strengthening their local development cooperation structures. Establishing and strengthening development cooperation structures yields advantages primarily in the Southern providers' internal coordination regarding their own outgoing development cooperation funding and their inter-institutional technical coordination, and in terms of requests from other countries about the possibility of development cooperation support. This form of support is not an integral feature of the individual TrC measures and, accordingly, is not addressed systematically. As a result, results on the strategic partnership level and with regard to development cooperation structures with the Southern provider are not systematically achieved and recorded. Effects that show up here are side-effects and, as such, are at risk of no longer being achieved in the event that framework conditions change.

Furthermore, the modality of TrC is a suitable way of entering into an informal dialogue with Southern providers about standards and principles of cooperation. Differences are found between some Southern providers and German development cooperation in the principles pursued by each side in TrC. These can be traced back to South-South cooperation principles and the principles of the Paris Declaration. Many Southern providers are partners with which German development cooperation has built up a relationship of trust through many years of (bilateral) cooperation. Experience of joint cooperation therefore exists which is not derived solely from TrC. Consequently, an explicit exchange of views about principles of cooperation is possible on this basis. The fact that the principles are not so vastly different is already evident from the acceptance of the 2030 Agenda, including the SDGs, and the way that institutions from both "North" and "South" are making use of it as an overall umbrella for the planning and implementation of new policies (UNOSSC, 2019). At the same time, the Global Partnership Initiative on Effective Triangular Cooperation (GPI-TriCo) has developed and adopted voluntary guidelines for the implementation of TrC (GPI, 2019).

There is also potential for some beneficiaries to strengthen their development cooperation structures. Neither in the strengthening of development cooperation structures nor in the dialogue on standards and principles is the focus of German development cooperation on the beneficiaries, in contrast to its approach to the Southern providers. It is more uncommon for beneficiaries to be involved at the strategic level. The evaluation showed that, especially in LAC, very active and up-and-coming beneficiaries are developing in the direction of becoming Southern providers. In this region there are dual actors, such as Peru, which in some cases are already engaging in TrC to implement development cooperation measures as Southern providers and not exclusively as beneficiaries. They can and will assume greater responsibility in addressing global challenges in the future.

**Recommendation 4: The BMZ and the IOs should systematically strengthen the Southern providers in their role as active development cooperation actors.**

4.1 The strengthening of development cooperation structures should be explicitly listed as an objective in the BMZ's TrC strategy. In addition, the IOs should develop indicators for the strengthening of development cooperation structures as an overarching impact of TrC, and anchor them in the individual TrC measures.

4.2 The BMZ should increasingly engage in a policy dialogue with its partners on principles and standards of development cooperation in joint TrCs. On the implementation level, the German IOs should discuss standards and principles with their partners and specify those to be applied when implementing joint TrCs.

4.3 The BMZ should support up-and-coming beneficiaries by strengthening their development cooperation structures within the framework of TrC so that in future they can act as Southern providers of development cooperation themselves.

### Context-adapted use of trilateral cooperation

The conception of TrC is understood and applied differently in the regions. The actors in the regions, particularly beneficiaries, bring different prerequisites and competences to their participation in TrC.

In a global comparison of all the TrC funded by German development cooperation, the LAC region stands out. There, the framework conditions for TrC and the LAC Fund can be assessed as favourable. LAC is a more homogeneous region culturally, where countries face similar development challenges and where German development cooperation has been funding TrC far longer and more systematically than in sub-Saharan Africa and Southeast Asia. Accordingly, there are a large number of TrC actors who regard the modality as a relevant form of development cooperation for the future, and who are themselves taking it forward with a high level of ownership. TrC has become established here as a form of cooperation, including standards such as the LAC Fund's Human Capacity Development Course (HCD course) on procedures for and the use of TrC in German development cooperation. Thanks to this useful instrument, the actors in LAC have a better understanding of their roles and know significantly more about how the modality of TrC operates, and specifically about project management and working methods in German development cooperation as well as the potential access to funding. Furthermore, the LAC Fund very actively and successfully promotes the visibility of the actors' engagement in development cooperation and of development cooperation topics at the international level, e.g. through conferences. Hence, beneficiaries in the LAC region in TrC are considerably more involved than beneficiaries in other regions, bearing in mind that many countries in LAC are already classified as middle-income countries (MIC). Since the LAC Fund is resourced from regional funding without bilateral commitments, it enables all the roles involved in a TrC not only to devise and implement context- and topic-specific measures, but also to bring the competences and interests of the partner countries together more flexibly. The design of the LAC Fund can be considered good practice for the implementation of TrC as a modality. However, the LAC Fund faces the increasing challenge that demand is rising while the resourcing provided by German development cooperation remains static.

In Southeast Asia and sub-Saharan Africa, particularly among the beneficiaries, there is found to be significantly less understanding and commitment to TrC on the part of actors, and hence lower levels of ownership and horizontality. They focus exclusively on the objectives of the measures and, for the most part, prefer bilateral development cooperation (donor-beneficiary relationship). With regard to transparency and cooperation relationships on an equal footing, it is found that they are included to a lesser extent, which much reduces their own opportunities to participate, e.g. in budget management or by drafting and submitting their own project proposals. In both regions, the latter is largely carried out by German development cooperation with the Southern providers. Neither in Southeast Asia or in sub-Saharan Africa does an HCD course on TrC exist.

In Southeast Asia, TrC has a distinct profile among Southern providers and as part of the ASEAN strategy to reduce inequalities in the region. Southern providers actively request TrC to demonstrate that they are assuming responsibility for global challenges. However, the implementation of the portfolio by means of

bilateral commitments limits the actor constellations and poses a certain risk to the implementation of TrC measures, because the funding for the measures is then tied to the given bilateral addressee. Fundamental changes affecting the use of TrC – such as a change of government or priorities for the bilateral addressee – could mean that the TrC portfolio involving this actor, including the budget, cannot be implemented (as in the case of South Africa). This is where regional funding would offer more flexibility at the implementation stage.

In sub-Saharan Africa, very heavy reliance was placed on a single actor, South Africa, in the role of the Southern provider. German development cooperation made optimistic assumptions about the founding of the South African Development Partnership Agency (SADPA) and the significance of the Trilateral Cooperation Fund (TriCo) for South Africa. These now reveal a political-strategic misjudgement by the BMZ of South Africa's interest in TrC. For its part, South Africa regards development cooperation as a sovereign element of its foreign policy. For now, the modality of TrC has ceased to be used in sub-Saharan Africa due to the termination of the bilateral TriCo Fund.

**Recommendation 5: The BMZ and the IOs should do even more to adapt their engagement in TrC to the specific contexts in the regions and partner countries.**

5.1 Germany's engagement in TrC should be more closely aligned than before with the capacities and competences of the respective Southern providers and beneficiaries. This calls for thorough clarification, prior to TrC, of the regional and country-specific differences in framework conditions and the interests of the actors in the three roles, and for incorporation of these aspects into planning and implementation, e.g. by means of comprehensive needs and stakeholder analyses and an assessment of the political and legal framework conditions.

5.2 In concrete terms, what this means for the three regions considered in the evaluation, taking account of BMZ regional strategies, is that

- *the positive experiences of TrC in LAC should be utilised and scaled up even more, and past learning experiences should be systematised and made accessible to other regions and measures, as ways to improve effectiveness.*
- *more HCD courses (similar to those offered by the LAC Fund) should be implemented in the Southeast Asia region in order to generate a better understanding of the modality of TrC and its potential among all participants, thereby also ensuring better inclusion of the beneficiaries in the conception and design processes. Furthermore, the BMZ should examine the use of alternative financing models for TrC.*
- *in sub-Saharan Africa, it should be examined whether the prerequisites are in place, either with countries other than South Africa, or with different South African actors in the role of Southern provider, to develop a common understanding of TrC and, if viable, to pilot individual TrC measures. Only if these preconditions are satisfied should TrC be continued in sub-Saharan Africa.*

## 7. LITERATURE



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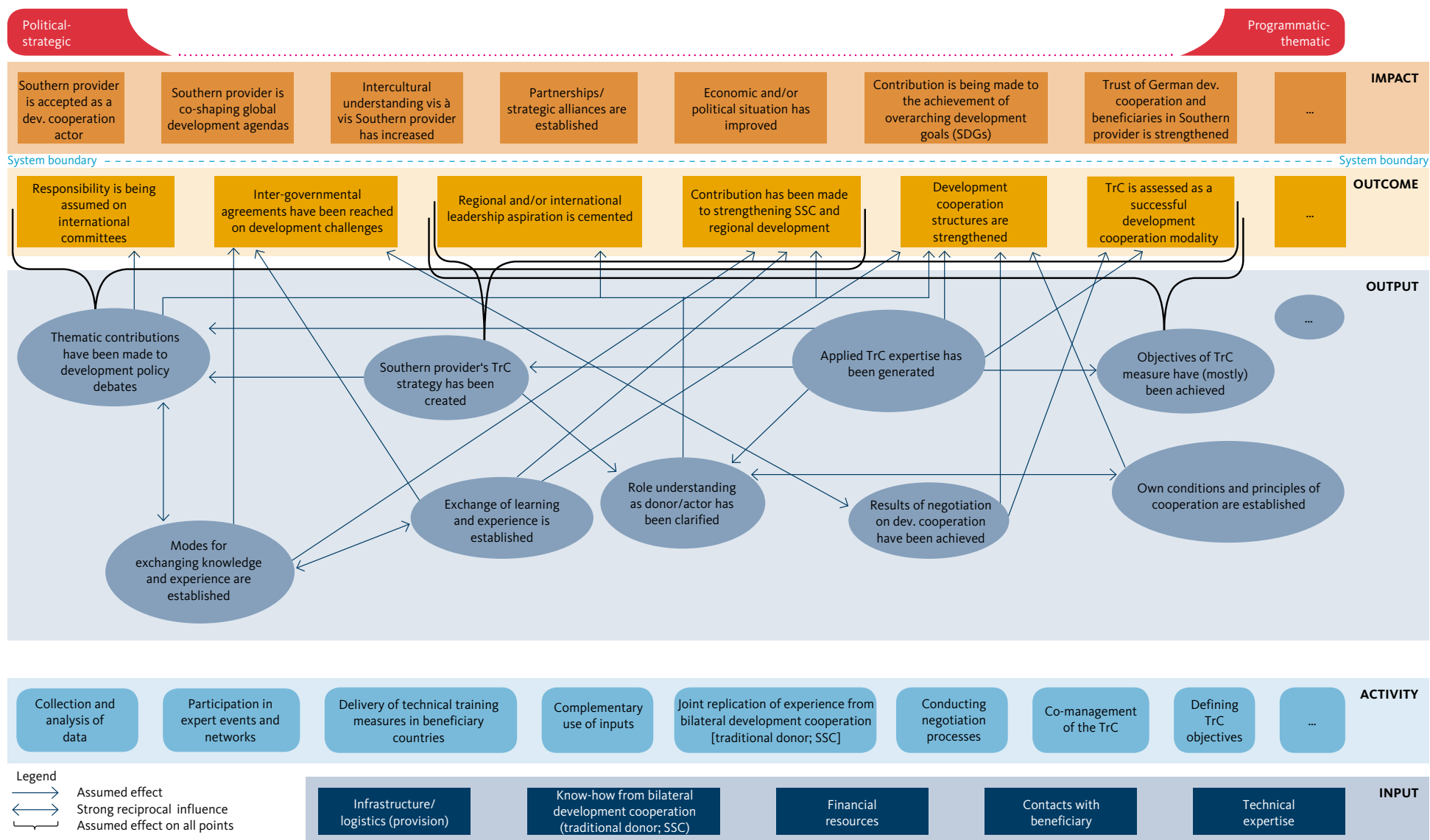
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## 8. ANNEX

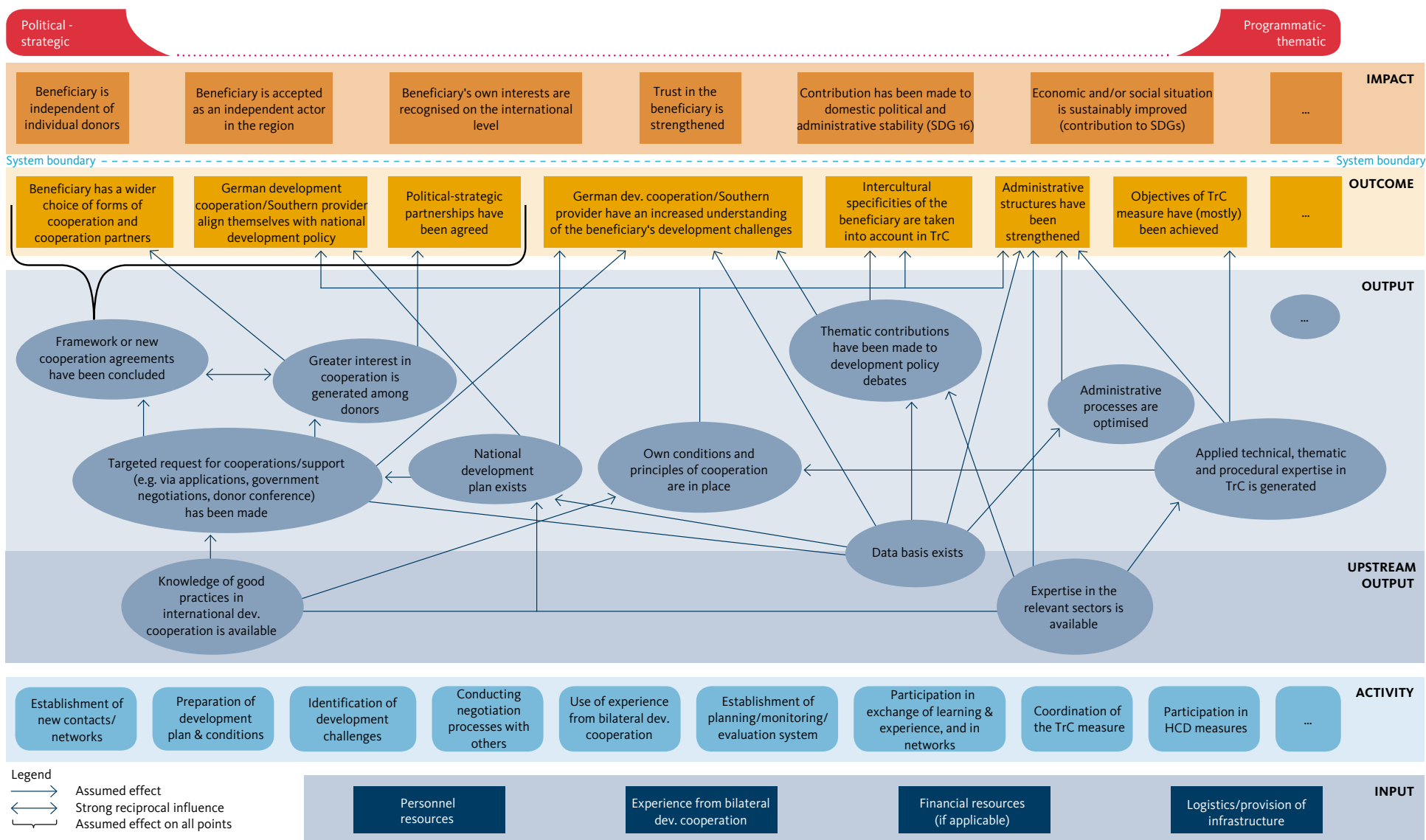
## 8.1 Theory of change for Southern providers and beneficiaries

**Figure 18** Reconstructed ToC for trilateral cooperation from the viewpoint of Southern providers



*Note: The ToC is based on assumptions that were made at the start of the evaluation. The figure has not been updated with the findings. Source: own figure.*

Figure 19 Reconstructed ToC for trilateral cooperation from the viewpoint of beneficiaries



Note: The ToC is based on assumptions that were made at the start of the evaluation. The figure has not been updated with the findings. Source: own figure.

## 8.2 List of trilateral cooperation measures included in the portfolio analysis

Table 5 List of trilateral cooperation measures included in the portfolio analysis

Region	Southern provider	Beneficiary	Title of measure
Latin America and the Caribbean	Brazil	Peru	<i>Aufbau eines Zentrums für Umwelttechnologien (CTA)</i> (Establishing a Centre for Environmental Technology [CTA] in Peru)
			<i>Überregionale AIDS-Bekämpfung in Lateinamerika und der Karibik</i> (Supraregional HIV/AIDS control in Latin America and the Caribbean)
	Chile	Dominican Republic	<i>Förderung der Jugendbeschäftigung in ländlichen und urbanen Gebieten der Dominikanischen Republik</i> (Youth employment in rural and urban areas in the Dominican Republic)
		El Salvador	<i>Methodentransfer zur Entwicklung nachhaltiger Sozialprogramme im Bereich der Jugendbeschäftigungsförderung</i> (Transfer of methods for developing sustainable social programmes for the promotion of youth employment)
		Guatemala	<i>Stärkung des institutionellen Managements zum Verbraucherschutz in Guatemala (DIACO)</i> (Strengthening institutional management in the area of consumer protection in Guatemala [DIACO])
		Honduras	<i>Verbesserung des Integrierten Abfallmanagements in Honduras</i> (Improvement of integrated waste management in Honduras)
		Colombia	<i>Stärkung des Abfallmanagements in Kolumbien</i> (Strengthening waste management in Colombia)
		Paraguay	<i>Verbesserung der Lebensqualität in Armutsvierteln von Asunción</i> (Improvement of the quality of life in poor areas of Asunción)

Region	Southern provider	Beneficiary	Title of measure
			<p><i>„Paraguay entre todos y todas“: Stärkung der nationalen Strategie für Sozialpolitik</i></p> <p>("Paraguay entre todos y todas": Paraguay for All – Strengthening the National Strategy for Social Policy)</p>
		Peru	<p><i>Fortalecimiento interinstitucional para los sistemas territoriales de control de obras para fomentar la transparencia y la participación</i></p> <p>(Inter-institutional strengthening of territorial building control systems to promote transparency and participation)</p>
		Andean countries	<p><i>Aufarbeitung der Erfahrungen mit der Dreieckskooperation Chile-Andenländer in der Kraftmessung</i></p> <p>(Processing the experience of triangular cooperation between Chile and Andean countries in the field of force measurement)</p>
	Costa Rica	Bolivia	<p><i>Stärkung der Kapazitäten im Recycling und bei der Abfallbehandlung (Elektronische Abfälle)</i></p> <p>(Strengthening capacities in recycling and waste treatment [electronic waste])</p>
	Mexico	Bolivia	<p><i>Anpassung an die Folgen des Klimawandels: Förderung der Wiederverwendung und Gewässerschutz in Bolivien</i></p> <p>(Adaptation to the impacts of climate change: promoting reuse and water conservation in Bolivia)</p>
			<p><i>Förderung der Wiederverwendung von gereinigtem Abwasser für die landwirtschaftliche Bewässerung, CORTIMEX</i></p> <p>(Promoting the reuse of recycled wastewater for agricultural irrigation, CORTIMEX)</p>
		Dominican Republic	<p><i>RED GIRE SOL - Integrales Abfallmanagement</i></p> <p>(RED GIRE SOL – GIRE SOL NETWORK: Integrated waste management)</p>
		Ecuador, Paraguay	<p><i>Unterstützung der Qualitätsinfrastruktur in Ecuador und Paraguay</i></p> <p>(Support for quality infrastructure in Ecuador and Paraguay)</p>

Region	Southern provider	Beneficiary	Title of measure
		El Salvador, Nicaragua	<p><i>Technische Beratung und Austausch von Best Practices in Energieeffizienzmaßnahmen und Energiemanagementsystemen (EMS) durch lernende Netzwerke zwischen Mexiko, Costa Rica, El Salvador und Nicaragua</i></p> <p>(Technical advice and knowledge transfer for the implementation of energy efficiency practices and Energy Management Systems [EnMS] through learning networks between Mexico, El Salvador and Nicaragua)</p>
		Honduras, Guatemala	<p><i>Stärkung und Vernetzung von KMU-Zulieferern durch die virtuelle Unternehmer-Plattform ANTAD.biz und ihre Umweltkomponente</i></p> <p>(Promoting and integrating SME suppliers through the virtual entrepreneurial platform ANTAD.biz and its environmental component)</p>
		Colombia	<p><i>Monitoring der Bodennutzung und der Auswirkungen des Klimawandels auf die Biodiversität</i></p> <p>(Monitoring land use and the impacts of climate change on biodiversity)</p>
			<p><i>Nachhaltige Stadtentwicklung und Wohnungsbau durch technische Beratung und Wissenstransfer (INFONAVIT)</i></p> <p>(Sustainable urban development and housing through technical advice and knowledge transfer [INFONAVIT])</p>
		Peru	<p><i>Stärkung des Managements kontaminierter/verseuchter Gebiete (GISCO)</i></p> <p>(Strengthening the management of contaminated/polluted areas [GISCO])</p>
	Peru	Chile	<p><i>Stärkung der territorialen Konzepte der Rechnungshöfe (InfObras)</i></p> <p>(Strengthening the territorial concepts of the courts of audit [InfObras])</p>
		Guatemala	<p><i>Strategien zur Verbesserung der Bildungssituation in ländlichen Gebieten Guatemalas</i></p> <p>(Strategies to improve the education situation in rural areas of Guatemala)</p>



Region	Southern provider	Beneficiary	Title of measure
			<i>Verbesserung der lokalen Steuerverwaltung in Guatemala</i> (Improving the local tax administration in Guatemala)
		Paraguay	<i>Capacity Building für Meldebehörden in Paraguay</i> (Building capacity in Paraguay's registration authorities)
	Brazil, Mexico	Bolivia	<i>Erdgasmesstechnik Lateinamerika</i> (Natural gas metrology in Latin America)
	Costa Rica, Mexico	Guatemala	<i>Stärkung von Kapazitäten für eine nachhaltige Landnutzung im mesoamerikanischen Biokorridor</i> (Strengthening capacities for sustainable land use in the Mesoamerican biological corridor)
Latin America and Caribbean - Africa (Intercontinental TrCs)	Brazil	Mozambique	<i>Stärkung des Messwesens und des nationalen Instituts für Normierung in Mosambik FORTINNOQ</i> (Strengthening metrology and the national institute for standardisation in Mozambique FORTINNOQ)
			Strengthening the Benefits of Flood Early Warning Systems in the communities of Búzi and Save river basins
	Costa Rica	Morocco	<i>Verbesserung des nachhaltigen Managements und der Nutzung von Wald, Schutz- und Wassereinzugsgebieten im Kontext des Klimawandels</i> (Improving the sustainable management and use of forests, protected areas and watersheds in the context of climate change)
Southeast Asia	Indonesia	Myanmar	<i>Berufliche Bildung</i> (Vocational education and training)
			Sustainable Economic Development through Technical and Vocational Education and Training (SED-TVET)

Region	Southern provider	Beneficiary	Title of measure
			<i>Nachhaltige Wirtschaftsentwicklung durch technische und berufliche Ausbildung sowie Training</i> (Sustainable economic development through technical and vocational education and training)
		Timor-Leste	<i>Trilaterale Kooperation mit Indonesien</i> (Trilateral cooperation with Indonesia)
	Malaysia	Cambodia	<i>Corporate Social Responsibility im Hafensektor</i> (Corporate social responsibility in the port sector)
	Thailand	Laos	Support to Financial Audit for the State Audit Organisation of Lao PDR
			Nam Xong Sub-River Basin Management Project
			Strengthening Good Agriculture Practice in Lao PDR Project
			Paper Mulberry Supply Chain Project
		Vietnam	Strengthening Cooperatives and SMEs in Central Vietnam Project
	Sub-Saharan Africa	DR Congo	Support to Anti-Corruption Framework in the DRC - Organization of a National Anti-Corruption Summit in the DRC
		Tanzania	Development of an investigation manual for the Independent Complaints Directorate (ICD) and training support to Tanzania and Kenya
			Fire Management Coordination Project

Source: own table.

### 8.3 Case selection criteria

Table 6 Case selection criteria

Veto	Criterion	Condition/remark
<b>Overarching criteria</b>		
	Regional coverage	Experience with TrC
	Intercontinental TrC	Experience with TrC $\geq 5$ TrC interventions
	Dual actors	Experience with TrC
X	Security situation	
	Participating IO	IO with $\geq 5$ TrC measures
	Financial contribution from Southern provider and beneficiary	Own contributions of the actors -> ownership, role understanding
X	Availability of the contact persons	<ul style="list-style-type: none"> <li>- Political situation (elections, government negotiations, government consultations, etc.).</li> <li>- Year of completion: more recently before less recently completed TrC measures</li> </ul>
	Congruence $nR \approx nM$	Logistics: $nR$ and $nM$ overlap geographically
	Accessibility of measures	Remoteness (or similar issues)
<b>Criteria specific to cooperation relationships (nR)</b>		
	Cooperation relationships	Experience with TrC; in LAC $\geq 3$ cooperation relationships
	TrC measures per cooperation relationship	Intensity
<b>Criteria specific to TrC measures (nM)</b>		
	TrC measures per actor	Experience with TrC measures; in LAC $\geq 5$ TrC measures
	Completed and ongoing TrCs	Measurement of results; current conceptions/plans
	Duration/period	<ul style="list-style-type: none"> <li>- Experience with TrC <math>\geq 1</math> year in duration</li> <li>- cf. availability</li> <li>- cf. completed or ongoing TrC measures</li> </ul>
	Project budget	TrC measures $\geq$ EUR 100,000
	Type of financing	SFF, regional funding, bilateral funding, etc.
	Sectors	Secondary criterion for the variance of cases in sectors

Source: own table.

## 8.4 Overview of the case studies

**Table 7** Overview of the countries, showing their respective roles

	No.	Southern provider	Beneficiary	Dual actor	Intercontinental actor
Sub-Saharan Africa	1	South Africa			
	2		Tanzania		
	3		Mozambique		Mozambique
Southeast Asia	4	Indonesia			
	5	Thailand			
	6		Vietnam		
	7		Laos		
Latin America and the Caribbean	8	Mexico			
	9	Brazil			Brazil
	10	Chile			Chile
	11	Costa Rica			
	12			Peru	
	13		Guatemala		
	14		El Salvador		
	15		Bolivia		
	16		Paraguay		

Source: own table.

Table 8 Overview of the trilateral cooperation measures analysed

Region	Southern provider	Beneficiary	Title of measure
Latin America and Caribbean	Chile	Paraguay	<i>Verbesserung der Lebensqualität in Armutsvierteln von Asunción</i> (Improvement of the Quality of Life in Poor Areas of Asunción)
	Peru	Paraguay	<i>Capacity Building für Meldebehörden in Paraguay</i> (Building Capacity in Paraguay's Registration Authorities)
	Peru	Chile	<i>Stärkung der territorialen Konzepte der Rechnungshöfe (InfObras)</i> Strengthening the Territorial Concepts of the Courts of Audit [InfObras])
	Chile, Mexico	Peru, Colombia	<i>Regionale Integration zur Stärkung der nachhaltigen Produktion und Konsum im Rahmen der Pazifikallianz</i> (Regional Integration to Strengthen Sustainable Production and Consumption within the Members of the Pacific Alliance)
	Chile	El Salvador	<i>Methodentransfer zur Entwicklung einer Strategie für Beschäftigungsförderung und Unternehmertum</i> (Transfer of Methods for the Development of a Strategy for Promoting Employment and Entrepreneurship)
	Brazil	Peru	<i>Aufbau eines Zentrums für Umwelttechnologien (CTA)</i> (Establishing a Centre for Environmental Technology [CTA] in Peru)
	Peru	Guatemala	<i>Strategien zur Verbesserung der Bildungssituation in ländlichen Gebieten Guatemalas</i> (Strategies to Improve the Education Situation in Rural Areas of Guatemala)

Region	Southern provider	Beneficiary	Title of measure
	Mexico	Peru, Bolivia	<p><i>Folgevorhaben: Förderung der Wiederverwendung von gereinigtem Abwasser für die landwirtschaftliche Bewässerung, CORTIMEX</i></p> <p>(Follow-up intervention: Promoting the Reuse of Recycled Wastewater for Agricultural Irrigation, CORTIMEX)</p>
	Chile	Peru	<p><i>Fortalecimiento interinstitucional para los sistemas territoriales de control de obras para fomentar la transparencia y la participación</i></p> <p>(Inter-institutional Strengthening of Territorial Building Control Systems to Promote Transparency and Participation)</p>
	Costa Rica	Bolivia	<p>Stärkung der Kapazitäten im Recycling und bei der Abfallbehandlung (Elektronische Abfälle)</p> <p>(Strengthening Capacities in Recycling and Waste Treatment [Electronic Waste])</p>
	Mexico	El Salvador, Nicaragua	<p><i>Technische Beratung und Austausch von Best Practices in Energieeffizienzmaßnahmen und Energiemanagementsystemen (EMS) durch lernende Netzwerke</i></p> <p>(Technical Advice and Exchange of Best Practices for the Implementation of Energy Efficiency Practices and Energy Management Systems [EnMS] through Learning Networks)</p>
	Mexico, Costa Rica	Guatemala	<p><i>Stärkung von Kapazitäten für eine nachhaltige Landnutzung im mesoamerikanischen Biokorridor</i></p> <p>(Strengthening Capacities for Sustainable Land Use in the Mesoamerican Biological Corridor)</p>
	Mexico	Honduras, Guatemala	<p><i>Stärkung und Vernetzung von KMU-Zulieferern durch die virtuelle Unternehmer-Plattform ANTAD.biz und ihre Umweltkomponente</i></p> <p>(Promoting and Integrating SME Suppliers through the Virtual Entrepreneurial Platform ANTAD.biz and its Environmental Component)</p>

Region	Southern provider	Beneficiary	Title of measure
	Brazil, Mexico	Bolivia	<i>Erdgasmesstechnik Lateinamerika</i> (Natural Gas Metrology in Latin America)
LAC - Africa	Brazil	Mozambique	<i>Stärkung des Messwesens und des nationalen Instituts für Normierung in Mosambik FORTINNOQ</i> (Strengthening Metrology and the National Institute for Standardisation in Mozambique FORTINNOQ)
			<i>Katastrophenvorsorge in Mosambik</i> (Disaster Prevention in Mozambique)
Southeast Asia	Thailand	Laos	Support to Financial Audit for the State Audit Organisation of Lao PDR
			Nam Xong Sub-River Basin Management Project
			Strengthening Good Agriculture Practice in Lao PDR Project
		Vietnam	<i>Zugang zu naturmedizinischen Produkten</i> (Access to Natural Medicinal Products)
			<i>Hochentwickelte technische Dienstleistungen für kleine und mittlere Unternehmen (KMU)</i> (Technologically Advanced Services for Small and Medium-sized Enterprises [SMEs])
	Indonesia	Myanmar	<i>Berufliche Bildung</i> (Vocational Education and Training)
Sub-Saharan Africa	South Africa	Tanzania	Fire Management Coordination Project
			Building the Capacity of Investigators of Police Oversight Bodies in Kenya and Tanzania (ICD Manual)

Source: own table.

## 8.5 Overview of Southern providers and beneficiaries by region

**Table 9** Overview of number of cooperation relationships and measures per actor

Actor	Number of cooperation relationships	Number of measures
<b>Central America</b>		
<b>Southern providers</b>		
Costa Rica	9	12
Mexico	15	24
<b>Beneficiaries</b>		
Dominican Republic	4	8
Guatemala	5	14
El Salvador	4	10
Haiti	1	1
Honduras	4	8
Cuba	1	1
Nicaragua	4	5
Panama	1	1
<b>South America</b>		
<b>Southern providers</b>		
Argentina	2	3
Brazil	21	12
Chile	13	34
<b>Beneficiaries</b>		
Bolivia	8	18
Ecuador	3	7
Colombia	4	11
Paraguay	5	11
Trinidad and Tobago	2	1
Uruguay	2	4
<b>Dual actors (in LAC)</b>		
Peru	8	18
<b>Southeast Asia</b>		
<b>Southern providers</b>		
Indonesia	2	5
Malaysia	2	2
Thailand	4	11



Actor	Number of cooperation relationships	Number of measures
<b>Beneficiaries</b>		
Cambodia	1	1
Laos	1	6
Myanmar	1	4
Timor-Leste	3	3
Mongolia	1	1
Vietnam	1	3
<b>Africa</b>		
<b>Southern provider</b>		
South Africa	10	7
<b>Beneficiaries</b>		
Angola	1	1
Benin	1	1
Burundi	1	1
DR Congo	1	2
Ghana	2	3
Guinea-Bissau	1	1
Cape Verde Islands	1	1
Kenya	1	1
Morocco	1	1
Mozambique	2	6
Nigeria	1	1
São Tomé e Príncipe	1	1
Senegal	1	1
Zimbabwe	1	1
Tanzania	1	3
Tunisia	1	1
Uganda	1	2

Source: own table.

## 8.6 Overview of country codes

Table 10 Country codes

Country code	Country
AGO	Angola
ARG	Argentina
BDI	Burundi
BEN	Benin
BOL	Bolivia
BRA	Brazil
CHL	Chile
COD	Democratic Republic of the Congo
COL	Colombia
CPV	Cape Verde
CRI	Costa Rica
CUB	Cuba
DOM	Dominican Republic
ECU	Ecuador
GHA	Ghana
GNB	Guinea-Bissau
GTM	Guatemala
HON	Honduras
HTI	Haiti
IDN	Indonesia
KEN	Kenya
KHM	Cambodia
LAO	Laos
MAR	Morocco
MEX	Mexico
MMR	Myanmar
MNG	Mongolia

Country code	Country
MOZ	Mozambique
NGA	Nigeria
NIC	Nicaragua
PAN	Panama
PER	Peru
PRY	Paraguay
SEN	Senegal
SLV	El Salvador
STP	São Tomé and Príncipe
TLS	Timor-Leste
TTO	Trinidad and Tobago
TUN	Tunisia
TZA	Tanzania
UGA	Uganda
URY	Uruguay
VNM	Vietnam
ZAF	South Africa
ZWE	Zimbabwe

Source: own table.

## 8.7 Success factors

The following tables show the success factors broken down by roles and regions, in percentages and absolute numbers. The total denotes the number of times a success factor was mentioned per role. When a success factor was mentioned several times in an interview, it was only counted once.

**Table 11 Success factors by roles**

German dev. cooperation		Southern providers		Beneficiaries	
Role clarification	8.2 % 27	Ownership	9.8 % 22	Good coordination	8.1 % 10
Political backing	5.8 % 19	Alignment	8.0 % 18	Provision of workshops	5.7 % 7
Common language	5.2 % 17	Good coordination	5.8 % 13	Competences of the IOs	5.7 % 7
Competences of the IOs	5.2 % 17	Role clarification	5.4 % 12	Good planning	5.7 % 7
Horizontality	4.3 % 14	Monitoring and evaluation	4.9 % 11	Good communication	4.9 % 6
Clarification of objectives	3.7 % 12	Political backing	4.5 % 10	Alignment	4.9 % 6
Tie-in with bilateral programmes	3.7 % 12	Competences of the IOs	4.5 % 10	Role clarification	4.9 % 6
Common culture, history, understanding	3.7 % 12	Flexibility	4.5 % 10	Mutual knowledge transfer	4.9 % 6
Ownership	3.4 % 11	Provision of workshops	4.5 % 10	Common language	4.1 % 5
Trust	3.4 % 11	Dependence on individuals	4.5 % 10	Trust	4.1 % 5
Flexibility	3.4 % 11	Common language	3.6 % 8	Good choice of actors	4.1 % 5
Similar socio-economic development	2.7 % 9	Common culture, history, understanding	3.6 % 8	Monitoring and evaluation	3.3 % 4
Good communication	2.7 % 9	Good communication	3.1 % 7	Positive image of German IOs	2.4 % 3
Good planning	2.7 % 9	Good planning	3.1 % 7	Horizontality	2.4 % 3
Monitoring and evaluation	2.4 % 8	Horizontality	2.7 % 6	Expertise of the Southern provider	2.4 % 3

German dev. cooperation		Southern providers		Beneficiaries	
Good choice of actors	2.1 % 7	Memorandum of understanding	2.2 % 5	Dependence on individuals	2.4 % 3
Positive image of German IOs	2.1 % 7	Good choice of actors	2.2 % 5	Experience from bilateral development cooperation	2.4 % 3
Provision of workshops	2.1 % 7	Tie-in with bilateral programmes	2.2 % 5	Tie-in with bilateral programmes	2.4 % 3
Travel and face-to-face meetings	1.8 % 6	Clarification of objectives	2.2 % 5	Export of Southern provider's experience	1.6 % 2
Experience from bilateral development cooperation	1.8 % 6	Trust	1.8 % 4	Asian regionality	1.6 % 2
Sustained interest	1.8 % 6	GIZ structures in partner countries	1.8 % 4	Common culture. history. understanding	1.6 % 2
LAC Fund	1.8 % 6	Mutual knowledge transfer	1.8 % 4	Travel and face-to-face meetings	1.6 % 2
Alignment	1.8 % 6	Similar socio-economic development	1.3 % 3	Ownership	1.6 % 2
Technical level in the project	1.5 % 5	Travel and face-to-face meetings	1.3 % 3	Political backing	1.6 % 2
Demand and articulation of the beneficiary's needs	1.5 % 5	Learning effects	1.3 % 3	Sustained interest	1.6 % 2
Steering structure	1.5 % 5	Number of actors being three in TrC	1.3 % 3	Knowledge of TrC	1.6 % 2
Training of staff	1.5 % 5	Number of actors in TrC	0.9 % 2	Similar socio-economic development	1.6 % 2
TriCo Fund	1.5 % 5	Demand and articulation of the beneficiary's needs	0.9 % 2	Clarification of objectives	1.6 % 2
Germany's bilateral relationships	1.2 % 4	Expertise of the Southern provider	0.9 % 2	GIZ structures in partner countries	0.8 % 1
GIZ structures in partner countries	1.2 % 4	Strong technical Southern provider	0.9 % 2	Demand and articulation of the beneficiary's needs	0.8 % 1

German dev. cooperation		Southern providers		Beneficiaries	
Dependence on individuals	1.2 % 4	Steering structure	0.9 % 2	Strong technical Southern provider	0.8 % 1
Learning effects	1.2 % 4	Knowledge of TrC	0.9 % 2	Memorandum of understanding	0.8 % 1
GIZ as an essential success factor	0.9 % 3	LAC Fund	0.9 % 2	Flexibility	0.8 % 1
Recognition of hierarchies	0.9 % 3	Recognition of hierarchies	0.4 % 1	Steering structure	0.8 % 1
Memorandum of understanding	0.9 % 3	Project based in the beneficiary country	0.4 % 1	Technical level in the project	0.8 % 1
Good coordination	0.9 % 3	Technical level in the project	0.4 % 1	Learning effects	0.8 % 1
South-South cooperation	0.9 % 3	Opportunity for Southern providers to enhance their profile in TrC	0.4 % 1	Participatory character of TrC	0.8 % 1
Participatory character of TrC	0.9 % 3			Number of actors being three in TrC	0.8 % 1
Number of actors being three in TrC	0.9 % 3			LAC Fund	0.8 % 1
Project based in the beneficiary country	0.6 % 2				
Strong technical Southern provider	0.6 % 2				
Passing on of experience	0.6 % 2				
Number of actors in TrC	0.6 % 2				
Integration of former development cooperation beneficiary as Southern provider	0.3 % 1				
Possibility of TrC in low-threshold conflicts	0.3 % 1				
Competence of the IO in the national language of the	0.3 % 1				

German dev. cooperation		Southern providers		Beneficiaries	
beneficiary and/or Southern provider					
Latin American regionality	0.3 % 1				
Explicit formulation of expectations and benefits	0.3 % 1				
Common interest of the cooperation	0.3 % 1				
Opportunity for Southern providers to enhance their profile in TrC	0.3 % 1				
Transfer of coordination from Germany to Southern provider and beneficiary	0.3 % 1				
Experience and competence of Germany and Southern provider	0.3 % 1				
<b>TOTAL German development cooperation</b>	<b>328</b>	<b>TOTAL Southern providers</b>	<b>224</b>	<b>TOTAL Beneficiaries</b>	<b>123</b>

Source: own table.

**Table 12 Success factors in Latin America and the Caribbean by roles**

German dev. cooperation		Southern providers		Beneficiaries	
Role clarification	8.7 % 18	Ownership	11.4 % 17	Good coordination	8.7 % 8
Competences of the IOs	5.8 % 12	Alignment	7.4 % 11	Competences of the IOs	7.6 % 7
Common language	5.3 % 11	Role clarification	6.7 % 10	Provision of workshops	7.6 % 7
Political backing	5.3 % 11	Good coordination	6.7 % 10	Mutual knowledge transfer	6.5 % 6
Clarification of objectives	3.9 % 8	Flexibility	6.0 % 9	Good communication	5.4 % 5

Flexibility	3.9 % 8	Competences of the IOs	4.7 % 7	Trust	5.4 % 5
Trust	3.9 % 8	Dependence on individuals	4.7 % 7	Alignment	5.4 % 5
Ownership	3.9 % 8	Monitoring and evaluation	4.7 % 7	Role clarification	4.3 % 4
Horizontality	3.4 % 7	Political backing	4.7 % 7	Positive image of German IOs	3.3 % 3
Common culture, history, understanding	3.4 % 7	Common culture, history, understanding	4.0 % 6	Horizontality	3.3 % 3
Similar socio-economic development	3.4 % 7	Common language	3.4 % 5	Good planning	3.3 % 3
Good choice of actors	3.4 % 7	Provision of workshops	3.4 % 5	Dependence on individuals	3.3 % 3
Alignment	2.9 % 6	Horizontality	2.7 % 4	Monitoring and evaluation	3.3 % 3
Experience from bilateral development cooperation	2.9 % 6	Trust	2.7 % 4	Export of Southern provider's experience	2.2 % 2
Tie-in with bilateral programmes	2.9 % 6	Good choice of actors	2.7 % 4	Expertise of the Southern provider	2.2 % 2
LAC Fund	2.9 % 6	Good planning	2.0 % 3	Common language	2.2 % 2
Demand and articulation of the beneficiary's needs	2.4 % 5	Good Communication	2.0 % 3	Clarification of objectives	2.2 % 2
Good planning	2.4 % 5	Tie-in with bilateral programmes	2.0 % 3	Travel and face-to-face meetings	2.2 % 2
Good communication	2.4 % 5	GIZ structures in partner countries	1.3 % 2	Ownership	2.2 % 2
Positive image of German IOs	2.4 % 5	Expertise of the Southern provider	1.3 % 2	Good choice of actors	2.2 % 2
Provision of workshops	2.4 % 5	Similar socio-economic development	1.3 % 2	Experience from bilateral development cooperation	2.2 %
Travel and face-to-face meetings	2.4 % 5	Memorandum of understanding	1.3 % 2	Knowledge of TrC	2.2 % 2



Technical level in the project	2.4 % 5	Clarification of objectives	1.3 % 2	Strong technical Southern provider	1.1 % 1
Sustainable interest	2.4 % 5	Travel and face-to-face meetings	1.3 % 2	Common culture, history, understanding	1.1 % 1
GIZ structures in partner countries	1.4 % 3	Steering structure	1.3 % 2	Similar socio-economic development	1.1 % 1
Monitoring and evaluation	1.4 % 3	Mutual knowledge transfer	1.3 % 2	Flexibility	1.1 % 1
Steering structure	1.4 % 3	Learning effects	1.3 % 2	Steering structure	1.1 % 1
Good coordination	1.4 % 3	Number of actors being three in TrC	1.3 % 2	Political backing	1.1 % 1
Training of staff	1.4 % 3	LAC Fund	1.3 % 2	Technical level in the project	1.1 % 1
Recognition of hierarchies	1.0 % 2	Project based in the beneficiary country	0.7 % 1	Learning effects	1.1 % 1
Project based in the beneficiary country	1.0 % 2	Demand and articulation of the beneficiary's needs	0.7 % 1	Sustainable interest	1.1 % 1
Strong technical Southern provider	1.0 % 2	Strong technical Southern provider	0.7 % 1	Participatory character of TrC	1.1 % 1
Mutual Knowledge transfer	1.0 % 2	Number of actors in TrC	0.7 % 1	Number of actors being three in TrC	1.1 % 1
Learning effects	1.0 % 2	Opportunity for Southern providers to enhance their profile in TrC	0.7 % 1	LAC Fund	1.1 % 1
Passing on of experience	1.0 % 2				
Participatory character of TrC	1.0 % 2				
Latin American regionality	0.5 % 1				
Explicit formulation of expectations and benefits	0.5 % 1				
Memorandum of understanding	0.5 % 1				
Common interest of the cooperation	0.5 % 1				

Opportunity for Southern providers to enhance their profile in TrC	0.5 % 1				
Transfer of coordination from Germany to Southern provider and beneficiary	0.5 % 1				
Experience and competence of Germany and Southern provider	0.5 % 1				
<b>TOTAL German dev. cooperation</b>	<b>207</b>	<b>TOTAL Southern providers</b>	<b>149</b>	<b>TOTAL Beneficiaries</b>	<b>92</b>

Source: own table.

**Table 13 Success factors in sub-Saharan Africa by roles**

German dev. cooperation		Southern providers		Beneficiaries	
Role clarification	9.4 % 6	Memorandum of understanding	25.0 % 3	Experience from bilateral development cooperation	40.0 % 2
Common language	7.8 % 5	Competence of the IO	8.3 % 1	Good planning	20.0 % 1
Political backing	7.8 % 5	Horizontality	8.3 % 1	Good coordination	20.0 % 1
TriCo Fund	7.8 % 5	Common culture, history, understanding	8.3 % 1	Political backing	20.0 % 1
Dependence on individuals	6.3 % 4	Provision of workshops	8.3 % 1		
Monitoring and evaluation	6.3 % 4	Monitoring and evaluation	8.3 % 1		
Tie-in with bilateral programmes	6.3 % 4	Good Communication	8.3 % 1		
Good planning	4.7 % 3	Ownership	8.3 % 1		
Number of actors being three in TrC	4.7 % 3	Alignment	8.3 % 1		
Competence of the IO	3.1 % 2	Tie-in with bilateral programmes	8.3 % 1		

German dev. cooperation		Southern providers		Beneficiaries	
Horizontality	3.1 % 2				
Common culture, history, understanding	3.1 % 2				
Good communication	3.1 % 2				
Ownership	3.1 % 2				
Learning effects	3.1 % 2				
Number of actors in TrC	3.1 % 2				
Positive image of German IOs	1.6 % 1				
GlZ as an essential success factor	1.6 % 1				
Competence of the IO in the national language of the beneficiary and/or Southern provider	1.6 % 1				
Recognition of hierarchies	1.6 % 1				
Clarification of objectives	1.6 % 1				
Provision of workshops	1.6 % 1				
Travel and face-to-face meetings	1.6 % 1				
Steering structure	1.6 % 1				
Training of staff	1.6 % 1				
South-South cooperation	1.6 % 1				
Participatory character of TrC	1.6 % 1				
<b>TOTAL German dev. cooperation</b>	<b>64</b>	<b>TOTAL Southern providers</b>	<b>12</b>	<b>TOTAL Beneficiaries</b>	<b>5</b>

Source: own table.

Table 14 Success factors in Southeast Asia by roles

German dev. cooperation		Southern providers		Beneficiaries	
Horizontality	9.1 % 5	Alignment	15.8 % 6	Common language	12.5 % 3
Political backing	7.3 % 4	Ownership	10.5 % 4	Good choice of actors	12.5 % 3
Competence of the IO	5.5 % 3	Good planning	7.9 % 3	Role clarification	8.3 % 2
Role clarification	5.5 % 3	Good coordination	7.9 % 3	Asian regionality	8.3 % 2
Common culture, history, understanding	5.5 % 3	Good communication	7.9 % 3	Good planning	8.3 % 2
Clarification of objectives	5.5 % 3	Competence of the IO	5.3 % 2	Tie-in with bilateral programmes	8.3 % 2
Flexibility	5.5 % 3	GIZ structures in partner countries	5.3 % 2	GIZ structures in partner countries	4.2 % 1
Trust	5.5 % 3	Role clarification	5.3 % 2	Demand and articulation of beneficiary's needs	4.2 % 1
Positive image of Germany	3.6 % 2	Provision of workshops	5.3 % 2	Common culture, history, understanding	4.2 % 1
Positive image of German IOs	3.6 % 2	Mutual knowledge transfer	5.3 % 2	Similar socio-economic development	4.2 % 1
Common language	3.6 % 2	Horizontality	2.6 % 1	Memorandum of understanding	4.2 % 1
Similar socio-economic development	3.6 % 2	Demand and articulation of beneficiary's needs	2.6 % 1	Monitoring and evaluation	4.2 % 1
Memorandum of understanding	3.6 % 2	Stronger technical Southern provider	2.6 % 1	Good coordination	4.2 % 1
Provision of workshops	3.6 % 2	Common language	2.6 % 1	Good communication	4.2 % 1
Good communication	3.6 % 2	Dependence on individuals	2.6 % 1	Alignment	4.2 % 1
Tie-in with bilateral programmes	3.6 % 2	Monitoring and evaluation	2.6 % 1	Sustainable interest	4.2 % 1
Sustainable interest	3.6 % 2	Political backing	2.6 % 1		

German dev. cooperation		Southern providers		Beneficiaries	
South-South cooperation	3.6 % 2	Good choice of actors	2.6 % 1		
GIZ structures in partner countries	1.8 % 1	Learning effects	2.6 % 1		
Good planning	1.8 % 1				
Travel and face-to-face meetings	1.8 % 1				
Monitoring and evaluation	1.8 % 1				
Steering structure	1.8 % 1				
Ownership	1.8 % 1				
Training of staff	1.8 % 1				
Technical level in the project	1.8 % 1				
<b>TOTAL German development cooperation</b>	<b>55</b>	<b>TOTAL Southern providers</b>	<b>38</b>	<b>TOTAL Beneficiaries</b>	<b>24</b>

Source: own table.

## 8.8 Schedule

Time frame	Tasks
09/2017 - 02/2018	Concept paper prepared
12/2017	Exploratory case study in South Africa carried out
03/2018	1st reference group meeting to discuss the concept paper
03/2018-06/2018	Inception report prepared
06/2018	2nd reference group meeting to discuss the inception report
07/2018 - 10/2018	Case studies in Latin America and the Caribbean carried out
09/2018 - 11/2018	Case studies in sub-Saharan Africa carried out
10/2018 - 11/2018	Case studies in Southeast Asia carried out
02/2019 – 03/2019	Portfolio analysis carried out
01/2019 - 07/2019	Analysis and synthesis of the results
07/2019	3rd reference group meeting to discuss the main findings, conclusions and recommendations
07/2019 - 12/2019	Report writing
11/2019	4th reference group meeting to discuss the draft evaluation report
02/2020	Finalisation of the evaluation report

Source: own table.

## 8.9 Evaluation team and contributors

Core team	Function
Lutz Meyer (until 31.01.2019)	Senior evaluator and team leader
Dr Marcus Kaplan (from 01.02.2019)	Senior evaluator and team leader
Dennis Busemann	Evaluator
Kristina Wirtgen	Evaluator
Teresa Vogel (until June 2018)	Project administrator
Rebecca Maicher (July 2018–May 2019)	Project administrator
Amelie Bornemann (from June 2019)	Project administrator

Contributors	Function
Christoph Hartmann	DEval internal peer reviewer (senior evaluator)
Helge Roxin	DEval internal peer reviewer (senior evaluator)
Dr Sven Grimm	External peer reviewer
Nadine Piefer-Söyler	External peer reviewer
Manaíra Assunção	Consultant
Stefan Tominski	Consultant
Judith Ihl	Student assistant
Theresa Müller	Student assistant
Stefanie Knoll	Intern

**Responsible head of department:** Dr Stefan Leiderer